CIVIL AVIATION SAFETY OVERSIGHT REPORTING AND TRACKING

Inspector Database Instructions Manual

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Approval

This CASORT Database Instructions Manual is one in a set of manuals forming the technical guidance provided for the conduct of aviation safety oversight by the Civil Aviation Authority of the Philippines (CAAP). This particular manual provides the generic guidance for the use of the suite of databases that make up the CASORT (Civil Aviation Safety Oversight and Tracking) databases. These databases are the underlying support to the recording of inspector actions, collection of historical information and resolution of safety concerns. This manual compliments the technical policy and procedures manuals necessary to perform tasks in support of the Philippine Civil Aviation Regulations (PCARs).

All personnel assigned by the CAAP to perform tasks that are addressed in this manual shall comply with these database policies and procedures in the performance of their duties. All other relevant working documents relating to these specific tasks and responsibilities will also be considered. If there is any conflicting guidance, the employee should advise management in writing. It is a goal of the CAAP to provide guidance that empowers personnel to conduct their tasks in a standardized manner.

This manual is subject to regular review and improvement as approved by the Director. The CAAP has authority to amend the manual, as necessary, to conform to the Philippine Safety and Security Oversight Program.

This manual will be treated as a dynamic document. As a result of amendments to the Philippine Civil Aviation legislation and the progress of aviation safety practices, there will be the need for amendments. Contribution of meaningful ideas for the improvement of the content of this manual is therefore encouraged and requested from all users.

Approved by:

Ramon S. Gutierrez
Director-General

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Record of Revisions

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- ⇨ Consult the List of Effective Pages to determine the current revision status of each page.

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SUMMARY OF REVISION 11 CHANGES & ADDITIONS

- New GO functionality discussions replaced all COMMIT documentation in Chapters 3 through 12.
- Chapter 8 converted to incorporate new Admin Tracking Database
- Chapter 15, Document Control database guidance provided.

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Record of Bulletins

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- ⇨ The actual bulletin will appear separately as a file in the Inspector Toolkit sub-folder C-SWCAA Technical Guidance.

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001-2006	30APR2006	Standard Reports Expansion	31OCT2006
002-2006	23AUG2006	Entering Training in CASORT	31OCT2006
001-2007	31APR2007	New CAA Action Number Selections	31JUL2007
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Chapter 0
Manual Administration

The purpose of this chapter is to provide guidance for the—

- Availability of this manual
- Compliance with this manual
- Revision of this manual.
- Understanding of the manual formatting
- Application of standard symbols or methods

0.1 REFERENCE MANUAL FOR CASORT USERS

A. This manual is the reference manual for all CAA personnel on the proper use of the databases that are a part of the CASORT Suite.

The CASORT Database Instructions manual is a reference manual which provides generic procedures for the users of the databases.

B. The guidance in this manual provides the foundation for the incorporation of the CASORT databases into a CAA's system of safety oversight to achieve the maximum positive effect and consistency of data.

0.2 GENERIC MANUAL

A. The CASORT software is developed to provide professional support to the safety oversight functions of a large or small civil aviation authority.

The recommendations of the CASORT Database Instructioons Manual should result in coherent, consistent data and safety oversight reports.

- The databases that make up the CASORT Suite include provisions to record very detailed information of the actions taken by a CAA's personnel and the approvals/disapprovals that have been issued.

B. This manual is generic to data entry and collection to CAA safety oversight functions, providing guidance to meet the minimum requirements.

- The extent to which the additional (voluntary) fields are required to be completed during the entry of data is left to the policy made by the management of the individual CAAs.

0.3 AVAILABILITY OF THIS MANUAL

A. The latest version of this CASORT Database Instructions Manual will be available—

1) Within the CASORT database, under the Help Tab; and

2) In the shared Inspector Toolkit on the CAA Intranet server under Technical Guidance> 004 Database Instructions Manual..

B. CAA employees are encouraged to have a printed copy for use at their desk with the understanding that the printed copy should not be consulted as the "official" copy.

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0.4 COMPLIANCE WITH THIS MANUAL

A. For maximum effectiveness, each assigned user must comply with policies and procedures provided in this manual.

Following the policies and procedures of this manual will ensure that the database contains consistent and useable data.

B. Should the user identify any policy or procedure that might not be consistent with the CAA's requirements, that information should immediately be communicated to their assigned supervisor.

0.5 CURRENCY OF THIS MANUAL

A. The CASORT Database Instructions Manual will be maintained in current status by the Aviation Safety Oversight Group, Inc (AVSOG).

The CAA Database Administror (DatAdmin) is responsible to ensure that the manual available in the CASORT Help is consistent with the latest version of the software.

B. The CAA may issue further CAA-specific guidance relating to the content of this manual using local procedures (refer to next paragraph for methodology.

The CAA is responsible for maintaining the currency of local policy and instrucions.

0.6 REVISIONS TO THIS MANUAL

0.6.1 TYPES OF REVISION

The method of inserting the revision will be dependent on the type of revision. There are three primary methods of revising the text of this manual—

0.6.1.1 Time-Critical

A. Time-critical information will be issued by AVSOG as Bulletins and will be placed in the front of the digital manual following the Bulletins Record page.

These Bulletins will also be inserted as links in the Help Contents.

- These Bulletins will not effect the manual page numbering and will not be included in the LEP.
- These bulletins will be canceled when the information has been incorporated into a formal revision to the manual or is no longer pertinent.

B. Bulletins issued by AVSOG will normally be associated with new changes in the software or workarounds for bugs.

0.6.1.2 Formal Manual Revision

A new digital manual incorporating the latest revision will be issued with a revision number and highlights of the revision.

- These Revisions will include updating of the list of effective pages, table of contents and index and include the the insertion of the revision will be recorded by the user in the Record of Revisions.
- Users of hard copy manuals should review the LEP and make the proper page revisions..

0.6.1.3 Local Revision

A. "Local" revisions may be issued by CAA management as necessary to make simple changes to policy and procedure.

B. AVSOG recommends that, if such guidance is issued, it should be accomplished by—

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1) Inserting Adobe attachments or other commenting techniques within the Inspector Toolkit copy of "003 Database Instructions Manual; and

2) Publishing "local" hard copy page-paragraph supplements distributed to all CAA employee containing the CAA-specific guidance.

0.6.2 AWARENESS OF REVISIONS

A. The DatAdmin will advise all employees when the software or manual hase been revised.

B. Employees are expected to review the current digital manual located in the Inspector Toolkit.

C. Employees who maintain a hard-copy of the manual must download and insert the revised pages as indicated by the list of effective pages..

D. Regardless of personal schedules, the user of this manual is required to confirm receipt of the notification of revisions to the DGC.

> A revision may be inserted and recorded as soon as it is received even if it is issued more than two weeks prior to the effective date.

E. This confirmation will indicate that the user has reviewed and understands the revisions on or before the revision's effective date.

0.6.3 LIST OF EFFECTIVE PAGES [LEP]

A. An LEP will be issued for the original and all revisions to this manual.

B. The LEP is the controlling reference for the page currency of the manual.

C. Use the LEP to verify that all pages of the manual are current.

D. Only the most current LEP page(s) should be retained in a hard-copy of the manual.

> The replaced LEP page(s) should be discarded before inserting the revised LEP page(s).

0.6.4 IDENTIFYING REVISIONS

0.6.4.1 Summary Page

Each revision contains a summary page that reflects important information concerning the revision.

0.6.4.2 Change Bars

A. Black vertical change bars in the outside margin are used to highlight the location of new or revised text on a newly published page. Deletion of text will be noted in the revision summary.

B. Change bars are used to highlight a change in the revision information at the bottom of the page.

> With the next revision of a page, change bars from previous revisions are deleted.

- Change bars will also be used to highlight the revision information when a change elsewhere in the chapter has shifted the page text, but no text revision was made on the page.

C. Change bars will not be used on the LEP, index or table of contents pages normally generated automatically by the publishing software.

0.6.5 RECORDING REVISION REVISION

To indicate inclusion of a revision, effective date of the revision will appear after the appropriate revision number on the Record of Revisions page located in the front of the manual.

0.6.6 DISPOSAL OF SUPERCEDED UN-OFFICIAL COPIES OR PAGES

A. Any person that maintains an unofficial copy of the manual must, in the case of a—

1) Digital copy – replace that file with a copy of the updated file;

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2) Hard copy – replace the copy in its entirety or insert the new pages (discarding the old pages).

The holder who just replaces pages should indicate accomplishment by initialing the Record of Revisions page by the Revision Number.

B. Personnel maintaining an unofficial copy should advise, on receipt of a revision notification, that their unofficial copy has been updated.

0.7 PROPOSING REVISIONS TO THIS MANUAL

0.7.1 SUGGESTIONS FOR REVISION ARE WELCOME

The success of the aviation safety oversight policy and procedure implementation depends on employees and other users bringing professional insights. The CAA should welcome and encourage such communication to ensure that the organization performs at optimum productivity.

0.7.2 SUGGESTING REVISION CONTENT

A. Any user of this manual may propose changes to the manual text by sending an email to his supervisor and copying the assigned Data Quality Coordinator (DGC).

Consult the Comment Report form to standardize the email text of the submitted revision.

B. The supervisor and DGC will review the proposed change and coordinate any proposed generic revisions with AVSOG.

- CAA-specific policy, procedure or content revision does not necessitate coordination with AVSOG.

Caution should be followed when making non-standard requirements for data entry with may effect the consistency and coherence of data reporting.

0.7.3 REVISION RESPONSIBILITIES

A. The CAA employee entering basic data that is covered by the policies, procedures and instructions of this manual must comply with the required process to ensure consistency and coherence of data.

Any employee that finds it necessary to depart from with the policies/procedures of this manual in order to properly accomplish the task must report this occurrence to the CAA management in writing.

B. The CAA management is responsible for the content of the text of this manual relative to their implementation of the entering of data collection and reporting..

0.8 EDITING CONVENTIONS

0.8.1 WORDS & ACRONYMS SPECIFIC TO CASORT

The following words and acronyms are directly relating to internal components of the CASORT databases—

1) **Admin Panel** – A separate panel, accessible only to the Database Administrator, for the—

- ♦ Creation and editing of users
- ♦ Assignment of user permissions
- ♦ Assignment of temporary passwords
- ♦ Security of official signatures
- ♦ Control of certain drop-down menu choices;.

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2) **Aircraft database** – A database that provides for the reporting and tracking of certificates and approvals regarding the airworthiness of aircraft issued by the CAA, including—

- Type certificate information
- Supplemental Type Certificate information
- Exemptions issued
- Registration information
- Airworthiness Certificate information
- Owner, Lessor and Lesse information
- Special approvals

3) **CAA Action database** – A database that allows the reporting and tracking of actions by CAA personnel in the conduct of day-to-day work functions, including—

- Inspection actions
- Evaluation actions
- Inspection actions
- Investigation actions
- interface with the Safety Issue database
- Scheduling of future actions
- Notification of pending planned actions

4) **CAA Employee Qualification database** – A database that provides for the collection and reporting of employee qualification activities, including employee—

- Contact information
- Current position qualfication
- Technical licenses
- Resume
- Aircraft qualification
- Formal training completion
- On-the-job training completion

5) **Database Administrator** – The computer person with primary responsibility for the security and operational functionality of the CASORT suite of databases.

6) **Data Quality Coordinator** – An inspector(s) assigned by the CAA management to—

(a) Enter the content of CASORT drop-down menus that are critical to consistency of data;

(b) Review the quality of the data being entered in the databases'

(c) Make recommendations to management for revisions that may be necessary to the coherence and consistency of the data.

7) **Document Control database** – A database to control the digital filing and searching of correspondence, plans, reports and other documents determined to be critical to the safety oversight function of the CAA, including—

- Full search capability
- Linking to supporting files within the CASORT Suite of databases

8) **PEL database** – A database that that provides for the reporting and tracking of licenses events and approvals regarding personnel licensing that areissued by the CAA, including the license holder's—

- Contact information
- PEL licenses
- Medical certificates
- Designee records
- License history

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- Logbook review
- Language proficiency

9) **Organization database** – A database that provides for the collection and reporting of the approvals issued to holders of AOC, AMO, ATO and Aerial Work Certificates and even non-certificated operators, including their—

   - Management Contacts
   - Operations and maintenance bases
   - Arrangement with or as service providers
   - Authorized aircraft
   - Approved manuals
   - Operational approvals
   - Maintenance approvals
   - Training approvals

10) **Safety Concern database** – A database interfaced with the CAA Action database that provides for the collection, tracking and resolution of safety issues identified by the Inspectorate personnel, with emphais on risk assessment and mitigation.

0.8.2 EDITING CONVENTIONS

The following editing conventions will apply to the use of certain specific terminology within the text of all CAA manuals–

1) **Gender** – In this manual, the male or female gender may be used in a generic sense to designate both sexes.

2) **Will, Shall and Must** – The words “will,” “shall,” and “must” are used in an imperative sense to state the requirement to accomplish the act prescribed. Compliance is mandatory.

3) **May** – The word “may” is used in a permissive sense to state authority or permission to do an act. Compliance is not mandatory.

4) **Includes** – The word “includes” means “includes, but is not limited to...”

5) **Refer to** – Where further discussion or reference is suggested, the notation “*Refer to....*” directs the reader to material located in another paragraph, chapter or manual. In these cases, the referenced location should be specific as to manual, chapter and paragraph.

0.8.3 ABBREVIATIONS & ACRONYMS

The following abbreviations and acronyms are used in this manual—

1) **CPC** – Certification Project Coordinator

2) **DatAdmin** – Database Administrator

3) **DQC** – Data Quality Coordinator

4) **CAA** – Civil Aviation Authorities

5) **ICAO** – International Civil Aviation Organization

6) **MMS** – Aircraft Make, Model, Series

7) **MRAI** – Minimum Required Annual Inspections (sometimes called “R” items)

8) **ORG** – Organization Database

9) **PEL** – Personnel Licensing

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0.9 USE OF NOTES, CAUTIONS & WARNINGS

These additions to the text are used to highlight or emphasize important points when necessary. They call attention of the user about safety and precautionary or additional information to make the job safe, easier and efficient.

0.9.1 NOTES

A. Notes provide amplified information, instruction, or emphasis (see example).

B. Notes call attention to methods that enable a user to perform a job easier or wiser.

A "NOTE" is identified and displayed in this type of box.

C. If a Note applies to consecutive procedural steps, it is placed under the topic heading for those steps.

0.9.2 IMPERATIVE EMPHASIS NOTE

A. Imperative Emphasis Notes are used to emphasize the necessity to comply with the text provided (see example).

B. This display is used when the text is important, but does not meet the criteria for a caution or warning.

An "IMPERATIVE NOTE" is identified and displayed in this type of box.

0.9.3 CAUTIONS

A. Cautions are instructions about hazards that, if ignored, could result in damage to an aircraft component or system (see example).

B. Cautions specify methods and procedures that must be followed to avoid damage to equipment.

A "CAUTION" is identified and displayed in this type of box.

C. If the caution applies to consecutive subtasks/steps, it is placed before the first subtask/step.

D. If the caution applies to several, non-consecutive subtasks/steps, it is placed before the applicable subtask/step.

0.9.4 WARNINGS

Warnings are instructions about hazards that, if ignored, could result in injury, loss of aircraft control or loss of life (see example).

A "WARNING" is identified and displayed in this type of box.

0.10 NOTIFICATIONS

A. "***This page intentionally left blank***" will be printed on any page that contains no text or graphics. This will usually be the even page at the end of a chapter.

B. "***The remainder of the page intentionally left blank***" will be printed on any page that has more than 15 lines of blank space at the bottom of the page.

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C. The only exception to paragraph B is when "***End of Chapter***" or "***End of Appendix***" is printed immediately following the text.

End of Chapter

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Chapter 1
General Record Keeping Policies

A. This chapter provides the general guidance and policies for the basis and implementation of the CASORT database.

B. The information provided in this chapter is intended for overview purposes. Each area is covered in much more significant detail in later chapters in this database instructions manual.

1.1 THE NEED FOR SAFETY OVERSIGHT RECORDS

A. The International Civil Aviation Organization (ICAO) has identified 8 critical elements of safety oversight systems. The first 5 critical elements primarily involve the establishment and maintenance of the infrastructure of the organization.

B. The last 3 critical elements to an effective safety oversight organization involve the day-to-day implementation of the oversight. They are—

1) **Certification and Licensing**;

2) **Surveillance**; and

3) **Resolution of Safety Issues**. The evidence that these elements are in place and effective are contained in the RECORDS of the State's civil aviation authority.

- The purpose of this section is to create a better understanding of why these records are necessary and
- Why this database is very effective in the collection and tracking of these RECORDS.

1.1.1 RECORDS ARE THE EVIDENCE

A. Aviation organizations are required by ICAO Standards and State Regulations to keep records pertaining to their flight operations and aircraft maintenance.

B. Before authorizing the beginning of flight operations, a State's safety oversight inspectors will evaluate an aviation organization. During that evaluation, the inspectors will review the organization's records to ensure that they contain the required information and are up-to-date.

If the required records are not adequate, available or up-to-date, the inspectors will not recommend authorizing flight operations.

C. After an aviation organization is certificated (authorized to conduct operations), the State's safety oversight inspectors will routinely conduct both planned and special inspections of that organization's required records.

If required records are not made available or are not up-to-date as required by the regulations, the inspectors will recommend action (from simple up-dating to suspension of operating privileges) to resolve the issue.

D. The primary point here is – if the records <u>do not</u> have the required entries and information – the aviation organization's verbal assurance that the proper work or function was accomplished <u>is not</u> accepted. This concept is applied throughout the international aviation industry.

The failure to present the evidence of proper work or function through the required records, or to have up-to-date records, is a basis for not authorizing operational privileges to an aviation organization – and a basis for suspending those privileges.

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1.1.2 INTERNATIONAL EXPECTATIONS

A. It is a fundamental concept of the ICAO Convention (1944) that a Contracting State is responsible for ensuring that the certificates and licenses issued by that State to aviation organizations and personnel meet the minimum standards for fitness outlined in the Convention and its Annexes.

B. Other Contracting States were to assume that each State was properly certificating and licensing it's personnel and organizations and were requiring them to meet at least the ICAO Standards.

> This is the basis for international operations that exists today between and over many States without undue interference by the local authorities in each State.

C. The above concept was severely eroded in the 1990's when it became apparent that some States were not exercising the safety oversight responsibilities required by the current Annexes.

D. Both the United States and ICAO established programs to visit other States and evaluate the extent of their conformance to the ICAO Standards for Safety Oversight.

E. These programs confirmed that some States had not implemented their safety oversight responsibilities. Their findings were expressed in terms of eight critical elements of safety oversight.

F. Failure to have "evidence" (implemented programs) of each of these eight critical elements led to determinations that these States did not exercise adequate and effective SAFETY OVERSIGHT.

1.1.3 RECORDS, RECORDS, RECORDS

A. The primary evidence that the international auditors ask to see to determine whether the State's civil aviation authority is exercising safety oversight are—

> Without this "evidence," the State is considered <u>not</u> to be meeting it's safety oversight responsibilities for certification, surveillance and resolution of safety issues.

1) RECORDS of original certification activities, evaluations, events and demonstrations – before issuance of an Air Operator Certificate;

2) RECORDS of a program of on-going inspections – to ensure that the operator maintained the minimum safety standards; and

> - When those records are not available, the result is that the air operators of that State may not be allowed to begin operations into another State (such as the United States) - or
> - Those that were operating will have their operations severely restricted - until an effective civil aviation safety oversight program is implemented.

3) RECORDS of resolution of safety issues – to ensure that the operator completed any correction deemed necessary by the State's safety oversight inspectors.

B. These auditors will not accept the CAA personnel assurances that the safety oversight task and obligations were discharged, if the records are not adequate to support those assurances.

> Adequate RECORDS of the certification, surveillance and resolution of safety issues are an unquestionable key factor in proof of implementation of an effective safety oversight program.

C. The absence of adequate records is accepted proof that the necessary safety oversight tasks were not accomplished.

1.1.4 PROJECT FAILURE WITH RECORDS

A. This database was born as a result of frustration. The inability to collect, report and track inspector evaluations, inspections and actions in a coherent manner caused several previous safety oversight upgrade projects to be judged as failures. The key missing ingredients were RECORDS.

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B. This was not because the required inspector evaluations, inspections and actions did not happen. It was because they were collected and reported through "PAPER" records. Paper records are not easily searched, sorted and summarized. Paper records are easy to mis-file or misplace – even in small CAAs.

Paper records put management in the position of having to trust that the inspectors were taking the proper actions and making the required records.

C. Because of paper records, management did not have a clear picture of what "evidence" was being developed. Much of management's understanding of what records should be available was based on the inspectors' verbal assurances. When audited, a significant portion of these verbal assurances were found to be unsupported by records.

The end result was the auditor's judgement that the safety oversight implementation project was not yet effective.

1.1.5 PROJECT SUCCESS WITH RECORDS

A. The next project was a resounding success! The difference was the implementation of a database similar to the CASORT database.

B. That database was originally developed in MS Access. The developers kept the complexity to a minimum – using their experience with other programs around the world that were too complex or too inefficent.

C. All activities, evaluations, inspections and decisions were captured through the use of a CAA Action Entry form with seventeen fields.

D. All safety issues identified were captured through the use of a Safety Issue Entry form that was attached to the CAA Action record that generated the issue.

Suddenly it was possible for management to, at any time, be updated on the inspectors' activities and safety issue resolution simply by pulling up a series of standard reports.

E. When both the ICAO and FAA international auditors arrived for their inspections (separately), it was easy for management to demonstrate that—

1) All necessary certification actions had been taken;
2) A program of minimum annual inspections (surveillance) was be accomplished; and
3) Identified safety issues were being resolved in a proper and timely manner.

Both auditing groups were impressed with the manner in which the CAA could come up with summary records of certification, surveillance and resolution of safety issues.

1.1.6 THE BOTTOM LINE

The bottom line is RECORDS. With adequate and available records of inspectors' activities, evaluations, inspections and resolution of safety issues, the CAA Director can be confident of the quality and effectiveness of the safety oversight program.

The implementation of this database using the guidance contained in these Help contents quickly transforms an Inspectorate from non-professional to a modern professional status.

1.1.7 CONTINUED DEVELOPMENT OF THE DATABASE

A. It was apparent to the project leader that the database as it existed in the Microsoft Access software was not as "stand-alone" as it needed to be for wide-spread dissemination. There were several deficiencies that had been overcome by having a project leader who was diligent in watching the daily use of the database.

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B. The following software was used to dramatically upgrade the original premise of the database—

- The open source Web Browser software, Apache Tomcat 5.0, was selected to provide the familiar look and user environment of an Internet-based working page.
- The open source software, JAVA, was selected to provide the "behind-the-scenes" manipulation of the data.
- The open source database software, MySQL, was selected to provide a strong database.
- The Help Contents were provided in Adobe Acrobat so that the user may access this information through the open source Adobe Acrobat Reader software.

- Using this methodology, the user works through an interface that protects from inadvertent changes to the database records.
- It also provides the ability to restrict certain users from changing the records of other users.

C. Some of those MS Access deficiencies that were corrected using this approach were—

1) In MS Access, the user worked directly in the database – leading to inadvertent overwriting of other records which required reconstruction of the records from the back-up files;

2) In MS Access, the user had to be trusted to enter the proper action taken – leading to the requirement for the project leader to double-check and match the activity with the action taken;

3) In MS Access, the user could not easily connect records – as a result key records were not connected except by the intervention of the project leader;

4) In MS Access, the user could not easily "gang-load" a series of planned events with concurrent record identification numbers – requiring the Systems Administrator to have to enter the records directly into the table; and

- All of these limitations were corrected when the database was moved to MySql software and....
- Many other upgrades to the accompanying software were made to make it the most effective RECORDS tool now available for small CAAs.

5) In MS Access, the user could not easily return to the specific safety issue records to update them – making it necessary for the project leader to intervene to ensure that the records were properly closed out.

1.2 TRACKING OF ACTIONS & DECISIONS

A. The MOST IMPORTANT RECORDS TOOL in a civil aviation safety oversight organization is the ability to track the actions and decisions of the user inspectors.

B. This database provides an easily-used method for inspectors to report their activities and evaluations in a standardized manner.

- It is configured to make the required entries through interactive default entries .
- These defaults are based on assumptions previously experienced by the inspectors in safety oversight projects.

With this software to construct records as events are taking place, the civil aviation authority has a capability that is equivalent to - and in some respects more powerful than – those used by the most advanced States in safety oversight.

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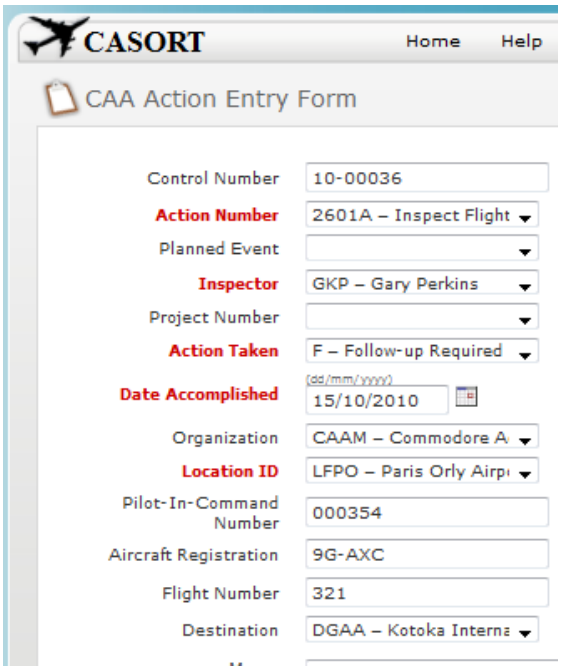
C. The software assumes that the inspector does not like to make data entries and is not proficient in the use of computer record keeping. The software makes these entries easy.

- The user inspector will be able to make many records with just 5 mouse clicks.
- It also employs drop-down menu selections that first provide user-specific previous entries in the field. As a result, most entries in these fields are just 2 mouse clicks.

D. This software is very user-friendly to inspectors in order to get the maximum number of records from these users.

This inspector activity and evaluation software has successfully provided overwhelming records "evidence" for both FAA and ICAO auditors conducting international audits.



1.2.1 WHAT ARE ACTION NUMBERS?

A. A list of Action Numbers (with their related descriptions) are used in the database to numerically describe all tasks and functions the inspector performs during a work day.

B. Under that definition, these "actions" would include—

- Providing assistance to the public;
- Supporting other inspectors;
- Doing routine tasks;
- Training;
- Investigations;
- Evaluations of documents and proposals;
- Personnel licensing;
- Inspections, and
- Safety issue resolution.

- The software was developed to "describe" the inspectors' work days.
- The possible selections and interactions within the database provide the capability for the inspector to describe their
  - daily activities,
  - technical decisions and
  - identified safety issues.

1.2.2 INSPECTOR ACTIONS

A. Tracking an inspector's actions and entries into the database is a critical priority for the Inspectorate management.

- Chapter 3 contains general information regarding the entry of activities.
- Chapter 4 contains specific instructions for the entry of different types of inspector activites.

B. This database is designed to collect records for each day that an inspector is "on-duty." This includes the seemingly "mundane" safety oversight tasks.

The end result is that it combines to show the reality and credibility of safety oversight processes in the Inspectorate.

C. Both management and international auditors can easily see that the technical personnel are involved daily in safety oversight tasks.

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D. Using the Standard Reports links, management may conduct a quick search of the CAA Action records for specific dates or a range of dates to review the data that is being entered by the inspectors.

Specific Date CAA Action Search	Provides a search of the CAA Action records for all inspector activities accomplished on a specific date.
Range of Dates CAA Action Search	Provides a search of the CAA Action records for all inspector activities accomplished during a specific period of dates.

1.2.3 EVALUATIONS

A. This database software is more than just a tracking device for actions and decisions. The numbering system does more than just report a generic certification evaluation. It is set up to drill-down and report in a very specific manner the actual evaluations that an inspector accomplishes during a certification.

For that reason, the software is called the CAA (Civil Aviation Authority) Action database. The number defining the particular activity is called the Action number.

B. For the purpose of understanding the difference between evaluation and inspection - consider that an ***evaluation*** is auditing to something - before it is authorized for use in aviation. Conducting this same audit task after the operator is authorized to use it in aviation is called an ***inspection***.

This understanding is very critical to the understanding of the database entries and will be repeated throughout the Help contents.

1.2.4 USER SECURITY

A. The software requires a log-in password unique to – and known only by – the user inspector.

B. This software will only allow the inspector who originally entered the record to edit that record. Other inspectors may not edit that record.

- Later analysis of records sometimes focus on the authenticity of the record.
- With this software, there is security for the inspector's records.
- It would be difficult for another inspector to edit these records.

1.2.5 TECHNICAL DECISION

A. Capturing the technical decisions of the inspector is important to a safety oversight program. This software was developed to record the technical decisions of the inspector for each activity or evaluation.

It is critical to the manager and the technical auditor of safety oversight programs that the inspectors' technical decisions be captured in the records.

B. There is a default feature that restricts the inspector choices for situations involving certification evaluation and inspection requiring that the inspector make a technical decision for each record.

1.2.6 DESCRIPTIVE NUMBERING

A. The key methodology that allows this software to accomplish the recording of activities better than more complex software is the "descriptive numbering" feature.

B. That is the copyrighted feature that provides for most activities - a 4-number identifier as an indication of a generic task – and also 4-number/1-letter identifier for more specific tasks in that particular activity. In that manner the user may select a more descriptive number to further drill-down to task actually performed.

This numbering feature allows the summary reports provided by the database to sort on specific numbered tasks and include their task description.

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C. In the example provided, a generic ramp inspection for a flight operations inspector is numbered 2602, while each of the more specific types of ramp inspections is given an additional letter, (2602A, 2602B, 2602C, etc.)

1.2.7 TASK DESCRIPTION

A. A unique "description" of the activity/evaluation task is attached throughout the software to the Action number. This description also provides "specialty-specific" information so that the reader of the report will be aware of the technical specialty of the inspector conducting the safety oversight task.

B. This description is one of the provisions that allows the software to be used by the summary reports to create a chronological, condensed "story" of the activities conducted by the CAA.

> The reader of a summary report is able to see the general course of events and actions that take place on a daily basis – or during a long project like the certification of an AOC holder.

1.2.8 CONNECTED RECORDS

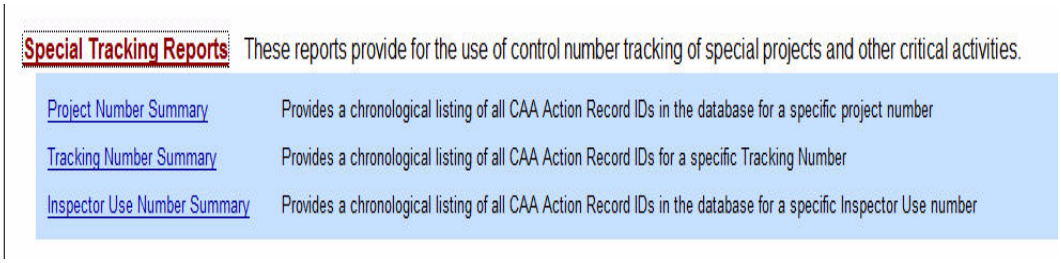
A. The feature for using summary records to provide a condensed "story" of the activities and evaluations is further enhanced by the capability to easily "connect" records.

B. This records-connecting capability makes it possible to provide a condensed "story" of a specific project, such as an air operator certification or special grouping of inspections.

> When a summary report detailing a full certification as a condensed story is handed to international safety oversight auditors – you can literally see their surprise at the completeness of your records and the capability of your record keeping system.

1.2.9 EXAMPLE OF SUMMARY REPORT

A. The following extract from the Standard Reports" menu contains the links to those reports developed to provide project summary information.


Special Tracking Reports
These reports provide for the use of control number tracking of special projects and other critical activities.
Project Number Summary
Provides a chronological listing of all CAA Action Record IDs in the database for a specific project number
Tracking Number Summary
Provides a chronological listing of all CAA Action Record IDs for a specific Tracking Number
Inspector Use Number Summary
Provides a chronological listing of all CAA Action Record IDs in the database for a specific Inspector Use number

B. The following abbreviated report was generated to provide a demonstration of the previous discussion points—

1) The first column demonstrates how the database allows for *connected records* (in this case through the project number field)

- ♦ The project number is 04-0003 (Year=2004; Record 0003 of that year)
- ♦ As the user will learn later this number is generated by the database when the record is saved.
- ♦ The Control number of the first record in a project becomes the project number.

> - The Control Number of the first connected record is 04-00003 which is used as the project number.
> - That is the basis for connecting the records that were generated as the certification progressed.

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2) The column labeled “description” is directly associated with the “descriptive numbering” associated with the specific CAA Action number for the record.

Project Number Summary

Comments: TGAA ATO Certification Final Report

Report Filter: Project Number = C070111

Description: Provides a chronological listing of all CAA Action Record IDs in the database for a specific project number

ID#	DATE	Action #	SPC	DESCRIPTION	ACTION	REG#	LOC	INI	Project Number	PE	MMS	ORG
111	24/07/2007	1150E	O	Certification-ATO	I		KMIA	JEP	C070111			TGAA
112	10/08/2007	1154A	G	Conduct Pre-Application meeting	I		KMIA	JEP	C070111			TGAA
113	10/09/2007	1156E	O	Eval Conformance Report: ATO	A		KMIA	JEP	C070111			TGAA
114	19/09/2007	2351	O	Eval Flt Crew Standardization Policies	A		KMIA	JEP	C070111			TGAA
115	19/09/2007	1003A	G	Public Assistance-Certification	C		KMIA	JEP	C070111			TGAA
116	24/09/2007	2331G	O	Eval Training Program Manual Content	A		KMIA	JEP	C070111			TGAA
117	02/10/2007	2604	O	Inspect Facilities & Equipment	F		KMIA	JEP	C070111			TGAA
118	10/10/2007	2604C	O	Inspect Training Facilities & Equipment	S		KMIA	JEP	C070111			TGAA
119	10/10/2007	2605A	O	Inspect Management and Support	S		KMIA	JEP	C070111			TGAA
120	12/10/2007	2611C	O	Inspect Simulator for Certification	S		KMIA	JEP	C070111			TGAA
121	15/10/2007	1160	G	Issue Certification Documents	C		KMIA	JEP	C070111			TGAA
122	15/10/2007	1150E	O	Certification-ATO	C		KMIA	JEP	C070111			TGAA

- In this case, inspector “JEP” did all of the tasks because only his initials are shown for each record.
- The work was done for operator - TGAA; the expanded record will show that this was Transglobal Air Training.
- This report is arranged chronologically and, reading the description, the certification of an Approved Training Organization was begun and completed. (The records read like a story of that certification).
- The technical decisions of the inspector were captured in the “action” column.
- A full record can be viewed by using the “ID#” (Record ID) column

C. There are a numerous “standard” reports that have be developed within this database to take advantage of the descriptive numbering, task descriptions and connecting of related records.

1.2.10 EXAMPLE OF THE VIEW CAPABILITY

A. The following is an example of the VIEW Page that the user may enter to view, sort or search for particular records.

The VIEW shown here contains the same records that were included in the previous report example.

- In this case, the default search is for the records of the inspector with the initials “JEP.”
- That inspector’s records are shown sorted in ascending chronological order
- But this VIEW page allows any column of this view screen to be sorted by simply clicking on the column title.
- Any field in these records (including a field not shown in the View Page) may be word searched by using the Field drop-down menu arrow to select the particular field and specifying a value to be searched in the second field before selecting the “Search” button

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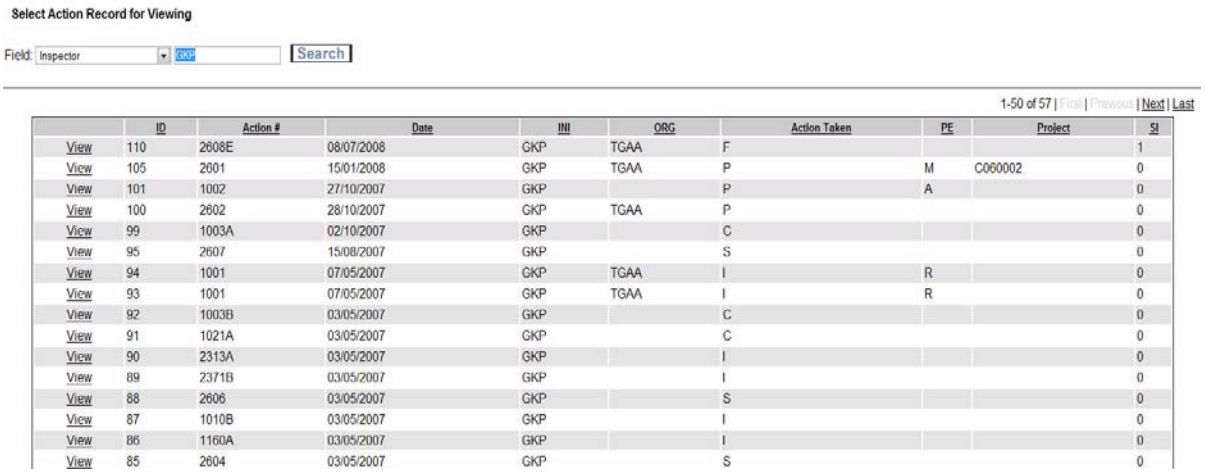
- The user may view the complete file for any of these records by selecting the underlined VIEW action word in the left column.



	ID	Action #	Date	INI	ORG	Action Taken	PE	Project	SI
View	110	2608E	08/07/2008	GKP	TGAA	F			1
View	105	2601	15/01/2008	GKP	TGAA	P	M	C060002	0
View	101	1002	27/10/2007	GKP		P	A		0
View	100	2602	28/10/2007	GKP	TGAA	P			0
View	99	1003A	02/10/2007	GKP		C			0
View	95	2607	15/08/2007	GKP		S			0
View	94	1001	07/05/2007	GKP	TGAA	I	R		0
View	93	1001	07/05/2007	GKP	TGAA	I	R		0
View	92	1003B	03/05/2007	GKP		C			0
View	91	1021A	03/05/2007	GKP		C			0
View	90	2313A	03/05/2007	GKP		I			0
View	89	2371B	03/05/2007	GKP		I			0
View	88	2606	03/05/2007	GKP		S			0
View	87	1010B	03/05/2007	GKP		I			0
View	86	1160A	03/05/2007	GKP		I			0
View	85	2604	03/05/2007	GKP		S			0

B. The following is an example of the search of a field in the actual complete record that is not shown on this above VIEW page.

This search capability is available throughout the various View pages provided in the CASORT databases.

- In this case, the user is searching for the name "Johnson" in the "Memo" field
- The search found 3 database records with that name in the Memo field. The Record ID numbers are 3,7 and 8.
- The user may view the complete file for any of these records by selecting the underlined "VIEW" action word in the left column.

	ID	Action #	Date	INI	ORG	Action Taken	PE	Project	SI
View	94	1001	07/05/2007	GKP	TGAA	I	R		0
View	80	2601A	05/04/2007	GKP	TGAA	S			2
View	41	2602	27/02/2007	GKP	TGAA	S		C070315	0
View	20	1003	22/10/2006	GKP		C			0

1.3 TRACKING SAFETY ISSUES

A. The SECOND MOST IMPORTANT RECORD TOOL of the safety oversight manager is the ability to track any identified safety issue through to completion.

B. This database provides an excellent method for inspectors to report their identified safety issues in a standardized manner. It then employs a variety of methods to access these safety issues through view, search or reporting methods.

This safety issue reporting and tracking methodology has successfully provided overwhelming records "evidence" for both FAA and ICAO auditors conducting international audits.

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C. The proof is in the results. No safety issues are "lost" or "forgotten." The manager is continuously aware of the status of these issues.

- Chapter 7 contains specific instructions for the entry of safety issues.

1.3.1 SAFETY ISSUE RESOLUTION AN ICAO CRITICAL ELEMENT

A. Resolution of Safety Issues is listed in the ICAO Safety Oversight Manual as the eighth and final critical element of safety oversight.

B. Both ICAO and FAA auditors are looking at the methods of resolution and the results (records) of the resolution process.

C. During an audit, the records of identified safety issues and their resolution will be requested. Those records will be very important to the credibility and effectiveness of the State's safety oversight program.

1.3.2 WHY TRACK IDENTIFIED SAFETY ISSUES?

A. The best way to approach this subject is through an analogy. Inspectors are like cats with respect to safety issues. They take a great deal of pleasure in showing off the "fish" they have captured by bringing these issues to their managers. Just like cats, they leave these fish without cooking and eating them – and go off to other pursuits. Soon the office is filled with stinking dead unprocessed fish…that can be smelled by an accident inquiry board on the other side of the globe.

B. Identified – but untracked – safety issues can have the same disposition as the stinking dead fish. It draws unwanted attention to the Inspectorate.

C. Inspectors – just like the cats – cannot be left to their own devices after having identified and surfaced the safety issues. The "safety issue" must be properly treated and "cooked" so that it will be a pleasure to eat it later. Eating a "dead fish" at the accident inquiry board can be displeasurable and disgusting.

- Bottom line is that no safety oversight manager wants to have to face an accident inquiry board or international auditors.
- And have to eat the dead fish (stinking records) that are laying around the CAA.
- Tracking every issue prevents those types of situations.

D. Management must be aware of every identified safety issue (even those that were resolved on-the-spot). Every issue that is identified must be recorded through a method that allows the manager to follow the processing of its resolution.

1.3.3 THIS DATABASE SOFTWARE

A. This database software provides for all identified safety issues to be connected to the inspector activity that identified the issue.

B. The inspector may launch and attach as many separate safety issues as they desire.

C. The inspector is required to—

1) Make and enter a decision as to the critical nature of the issue;

2) Make and enter a decision as to the current status of the safety issue;

3) Provide a reference (audit standard) as the basis of identification of the issue;

4) Outline the safety issue through a narrative process; and

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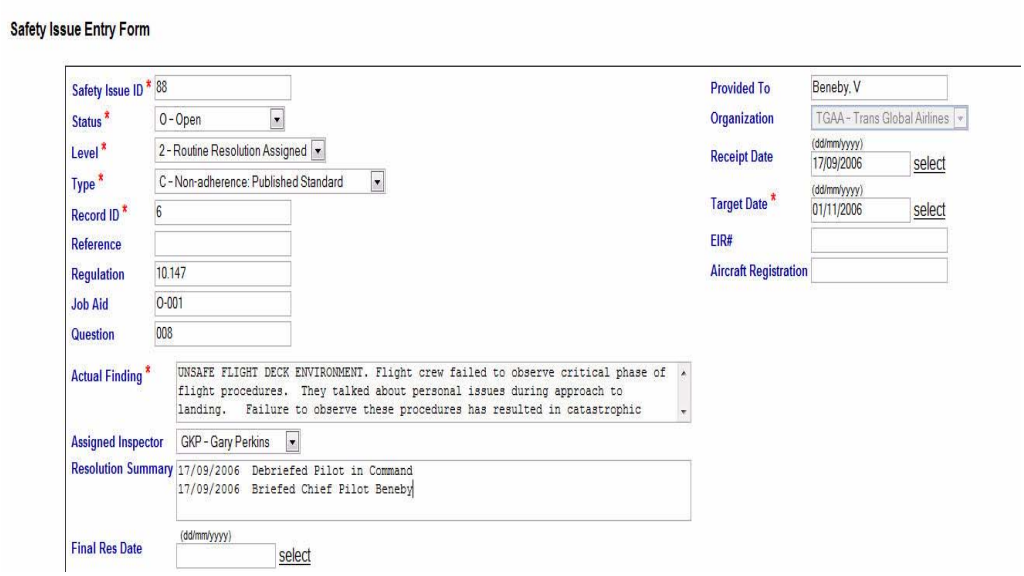
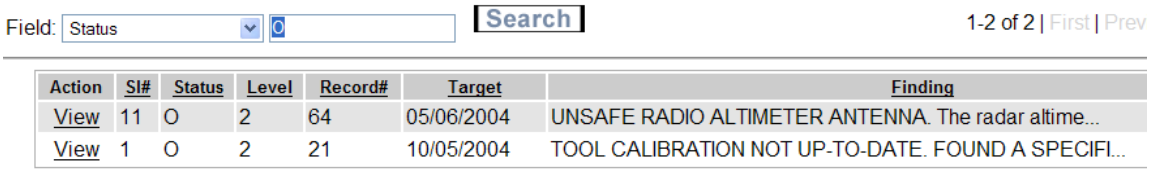
5) Use a summary narrative process to record the steps take to resolve the issue.


Safety Issue Entry Form
Safety Issue ID * 88
Status * O - Open
Level * 2 - Routine Resolution Assigned
Type * C - Non-adherence: Published Standard
Record ID * 6
Reference
Regulation 10.147
Job Aid O-001
Question 008
Actual Finding * UNSAFE FLIGHT DECK ENVIRONMENT. Flight crew failed to observe critical phase of flight procedures. They talked about personal issues during approach to landing. Failure to observe these procedures has resulted in catastrophic
Assigned Inspector GKP - Gary Perkins
Resolution Summary 17/09/2006 Debriefed Pilot in Command
17/09/2006 Briefed Chief Pilot Beneby
Final Res Date (dd/mm/yyyy) select
Provided To Beneby, V
Organization TGAA - Trans Global Airlines
Receipt Date (dd/mm/yyyy) 17/09/2006 select
Target Date * (dd/mm/yyyy) 01/11/2006 select
EIR#
Aircraft Registration

1.3.4 OPEN SAFETY ISSUES ARE EVER-PRESENT

A. Each user selecting the Home Page "View Safety Issue" link will receive the default list of all open safety issues. This keeps the list of issues always present for the viewers.



Action	SI#	Status	Level	Record#	Target	Finding
View	11	O	2	64	05/06/2004	UNSAFE RADIO ALTIMETER ANTENNA. The radar altime...
View	1	O	2	21	10/05/2004	TOOL CALIBRATION NOT UP-TO-DATE. FOUND A SPECIFI...

B. Each user may, through the Home Page "Reports" tab, access the following standard open safety issues.

Open Safety Issues [Inspector]	Provides an inspector a listing of his current open safety issues
Open Safety Issues [By Organization]	Provides a listing of all current open safety issues for a specific organization
Open Safety Issues [All]	Provides a listing of all current open safety issues in the database

C. Management and other inspectors will find that OPEN safety issues are easy to identify and track.

The safety issue resolution process employed in this database is the most effective method for providing records that demonstrate the competency and effectiveness of the CAA.

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1.4 TRACKING REQUIRED INSPECTIONS

A. The THIRD MOST IMPORTANT RECORD TOOL of the safety oversight manager is the ability to pre-plan and track to completion the minimum types and numbers of annual inspections for certificated aviation organizations.

- Chapter 6 provides specific instructions for the insertion of these inspections into the database by management.
- Chapter 5 provides specific instructions for the inspector accomplishment and completion of the planned records.3

B. This database provides an excellent method of planning and "gang-loading" these annual inspections. It also provides a comprehensive reports program for tracking the completion of the planned inspections. But the proof is in the results.

This inspection planning and tracking methodology has successfully provided overwhelming records "evidence" for both FAA and ICAO auditors conducting international audits.

1.4.1 ANNUAL PROGRAM TO MEET ICAO STANDARD

A. A annual program of minimum types and numbers of inspections is necessary to determine that a certificated aviation organization continues to meet the State standards for original certification.

B. It is an ICAO Standard that the State certificating an air operator must maintain a continuous program of surveillance to ensure that the operator continues to meet the standards under which they were originally certificated.

- The pre-planning and overall tracking of completion plan should remain a primary focus of management.
- Experience has shown that Inspectors should not be trusted to meet these minimum inspection events without management's planning and supervision.
- Inspectors are easily distracted by the rush of events in day-to-day safety oversight.

C. The minimum program should be based on the organization's complexity and impact on public safety. The safety oversight organization should have a written policy document establishing the criteria used to plan inspections. An example of such a document has been appended to this Help Section.

1.4.2 WHY PLAN A GROUP OF INSPECTIONS?

A. Planning a series of inspections is a management function. Management determines the minimum types and numbers of inspections that will result in validation of the organization's conformance status.

B. Management is more aware of international standards of performance and the markers that cause accident inquiry boards and international audit groups to decide that a CAA is exercising effective safety oversight.

C. The *primary inspection marker* that these international audit groups look for is a program of PLANNED annual inspections of the CAA's approved organizations. For the purposes of this section, the acronym "MRAI" will denote that program.

D. The audit groups also look for "follow-through." Is there evidence that the CAA accomplishing the previously planned inspections in a timely manner?

Records of an MRAI program showing the full annual plan and subsequent completion of that plan are critical to the international credibility of the CAA.

E. When the need for a special inspection (in addition to the MRAI events) of an approved organization is identified, it is in management's

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interest to again determine the minimum type and number of inspection events that will have to be accomplished.

1.4.3 WHEN TO PRE-PLAN INSPECTIONS

There are three important occasions when the minimum inspection events should be pre-planned so that the CAA Action records show completion of these events has occurred—

1) A special inspection generated by accidents or incidents;
2) A minimum required annual inspection program (MRAI); and
3) The minimum required satisfactory inspections to support the certification of an organization.

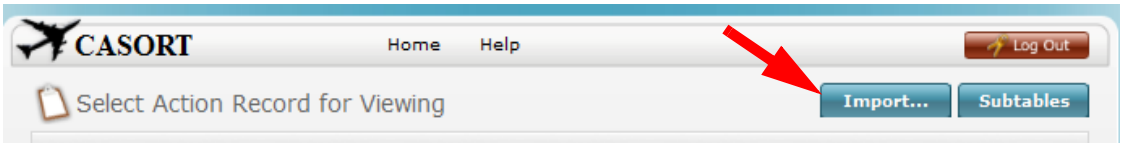
> The discussion of the use of the planning functions of the CAA Action database are included in Chapter 6.

1.4.4 MRAI EXCEL TABLE UPLOAD FEATURE

A. The planning and data entry of the MRAI inspections is best accomplished using the Excel Table Upload feature included in this database.

> Specific instructions regarding this feature are provided in Chapter 6.

- Supervisors may use the "Import Planned Events" link from under the Home Page Action Records tab to make these entries.



B. This innovative module allows management to—

1) From an Excel template, begin entering the format and content of the MRAI records;
2) Copy, paste and revise the group of records;
3) Make any modifications to each of the records while records are in view; and
4) Upload the new records to the database.

1.4.5 RETRIEVING AND TRACKING THE PLANNED MRAI

A. The database has three standard reports specifically developed to retrieve and track the success of the "unfinished" MRAI records.

B. The VIEW records protocol allows the user to easily access the records especially planned for MRAI.

Unfinished MRAI Reports
These reports provide for the quick ability to ascertain the status of unfinished required annual inspections.
Unfinished MRAI [Inspector]
Unfinished MRAI [By Organization]
Unfinished MRAI [All]
Status of Minimum Required Annual Inspections

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1.5 TRACKING CERTIFICATION EVENTS

A. The FOURTH MOST IMPORTANT RECORD TOOL of the safety oversight manager is the ability to pre-plan and track to completion the minimum types of evaluations, inspections and demonstrations to fully complete the certification of an aviation organization, such as an Air Operator.

B. This database provides an excellent method of planning and "gang-loading" these minimum certification events (MCE), evaluations and inspections. It also provides a comprehensive reports program for tracking the completion of the planned inspections.

> This certification planning and tracking methodology has successfully provided overwhelming records "evidence" for both FAA and ICAO auditors conducting international audits.

1.5.1 ORIGINAL CERTIFICATION REQUIRED TO MEET ICAO STANDARD

A. It is an ICAO Standard that the State must have a program of certification in order to conduct the evaluations, inspections and demonstrations necessary to ensure that the organization meets the standards for operation.

B. This program of certification should be contained in a written policy document. It should outline the documents that must be approved (or accepted) and the inspections that must be completed satisfactorily during the certification process.

> - The best method to prevent this type of mistake is to use a database that already has the minimum certification records reserved.
> - This allows the manager, through search screens or standard reports, to be able to track the certification process.
> - The same information is available to each of the inspectors conducting the certification.

C. International auditors or accident inquiry groups may ultimately review the State's records of certification at some later date. It is very embarrassing for them to find that critical evaluations or inspections were not conducted prior to issuance of the authorizing certificate.

1.5.2 WHY PRE-PLAN THE MINIMUM CERTIFICATION EVENTS?

A. Pre-planning the M-records for a given certification is a management function. For the purposes of this section, the acronym "MCE" or "M-records" will denote that program.

> The discussion of the use of the planning functions of the CAA Action database are included in Chapter 6.

B. Management determines the minimum types and numbers of evaluations, inspections and demonstrations that will confirm that a successful certification occurred.

C. Management is more aware of international standards of performance and the markers that cause accident inquiry boards and international audit groups to decide that a CAA is accomplishing a coherent and complete certification.

D. Few CAAs take the time to pre-plan certifications. This is very apparent when these CAAs are audited and found to have insufficient records of certificating

> - The audit groups also look for "follow-through."
> - Is there evidence that the CAA accomplished the Minimum Certification Evaluations and Events that were pre-planned?

E. Records of an MCE program showing the certification plan and subsequent completion of that plan are critical to the international credibility of the CAA.

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1.5.3 WHEN TO PLAN CERTIFICATIONS?

The management should decide which certifications must be pre-planned. At a minimum, CAA Action records for the minimum inspection evaluations and events should be pre-planned for the following certifications—

1) Original certification of an AOC, AMO, ATO or Aerial Work operators;
2) Lengthy special certifications such as ETOPS, RVSM, RNP-10;
3) Low visibility operations, such as Category II and III landings or takeoffs;
4) Addition of a new aircraft type to the AOC certificate

1.5.4 MCE EXCEL TABLE UPLOAD FEATURE

A. The planning and data entry of the Minimum Certification Events is best accomplished using the Excel Table Upload feature included in this database.

> Specific instructions regarding this feature are provided in Chapter 6.

- Supervisors may use the "Import Planned Events" link under the Home Page CAA Action tab to make these entries.)

B. This innovative module allows management to—

1) From an MS Excel template, enter/revise the Content of the records to be inserted in the database;
2) Ensure that the records are connected by an assigned project number (for later retrieval and accomplishment);
3) Make any modifications to each of the records while all of the records are in view; and
4) Save the entire group of records to the database.

1.5.5 RETRIEVING AND TRACKING THE PLANNED MCE

A. The database has two standard reports specifically developed to retrieve and track the completion of the minimum certification events,

Certification Reports
These reports provide for the planning, tracking and ultimate completion of certification activities.
Planned Certification Summary
Completed Certification Summary

B. The VIEW records protocol allows the user to easily access the records especially planned for MCE evaluations and inspections through the search function or manipulation of the view tables.

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1.6 COLLECTION OF SAFETY-RELATED DATA

A. In addition to the reporting and tracking of inspector activities and identified safety issues, safety oversight organizations also should collect other records related to safety oversight functions, usually in the following 4 groups—

1) Personnel licensing;

2) Aircraft certification;

3) Organizations certificated by the CAA; and

4) Status of internal projects and suspenses.

- A civil aviation authority in a small country may find that "paper and file" records are easier to use than computer data entry.
- But as the numbers of pilot, aircraft and certificated aviation organizations grow (31 or more separate records per group)...
- It becomes more efficient to collect and record this information in a spread-sheet or database application.

B. The tables and sub-tables associated with this database application provide for the collection, viewing and reporting of information that is equivalent to the information that the United States FAA collects in these different groupings.

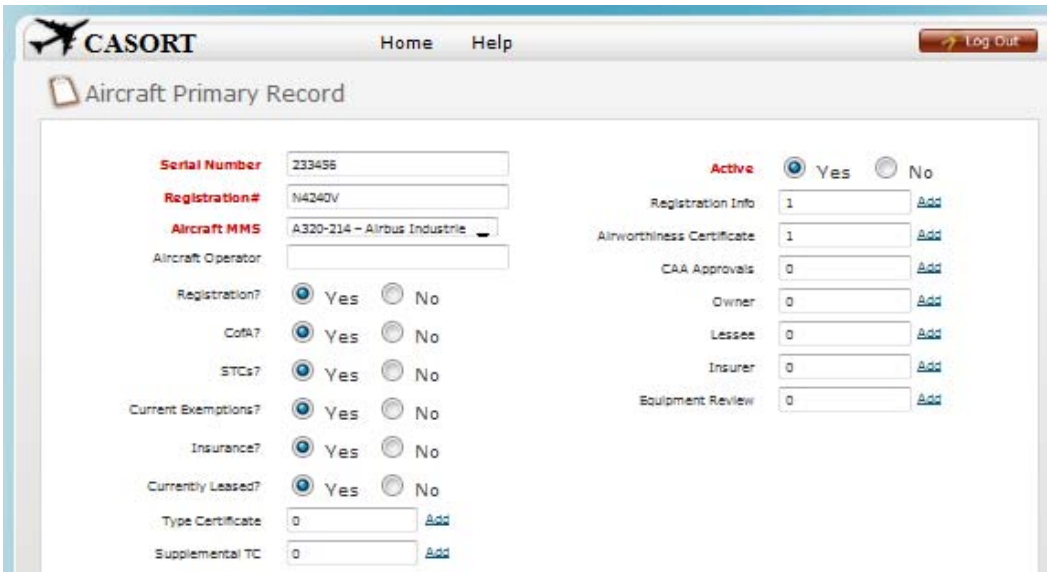
- It is important that the user understands the Inspector Activities and Safety Issue tables are the "make-or-break" records.
- CAA Action records must be entered on a high-priority basis.
- The data collection of information by the applications discussed in this Help Section have only a small and secondary purpose as official source information.
- These are not usually up-dated on priority basis.

C. These information collecting applications are provided with this application so that the CAA will have the primary data that it needs to collect in one overall database application.

1.6.1 AIRCRAFT CERTIFICATION

A. The Home Page "Aircraft Approvals" links provide access to the following table and sub-table allowing the collection of digital records about a specific aircraft by serial and registration number—

- **Basic Aircraft Information**. This primary table provides the information entry of the general requirements of the aircraft, including the status of the registration and airworthiness certificates. It also provides internal links to the following sub-tables.



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- **Registration Certificate**. This sub-table provides expanded information regarding the registration certificate issued to the specific aircraft.
- **Owner Information**. This sub-table provides expanded information regarding the name and contact information for the owner.

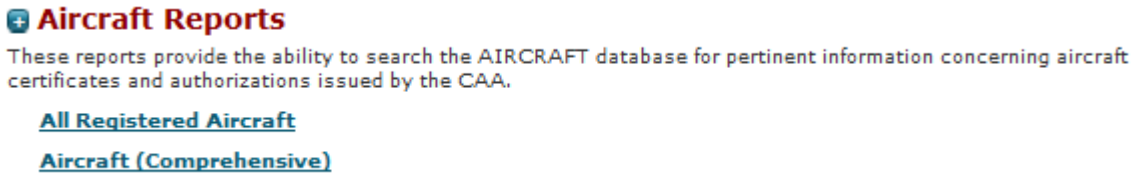
Expanded guidance regarding the Aircraft database is included in Chapter 9.

- **Lessee Information**. This sub-table provides expanded information regarding the Lessee name and contact information.
- **Insurer Information.** This sub-table provides expanded information regarding the insurance status of the aircraft and the insurer contact information.
- **Type Certificate**. This sub-table provides expanded information regarding the Type Certificate applicable to the specific aircraft.
- **STC Number**. This sub-table provides expanded information regarding the Supplemental Type Certificates applicable to the specific aircraft.
- **Exemptions**. This sub-table provides expanded information regarding the exemptions that have been granted to this specific aircraft.
- **Equipment Review.** This sub-table provides expanded information regarding the equipment that is installed on the aircraft and the hours in service at the time of the inspection.
- **Certificate of Airworthiness**. This sub-table provides expanded information regarding the airworthiness certificate issued to the specific aircraft.
- **CAA Approvals**. This sub-table provides the expanded information regarding the approvals that have been issued by the Inspectorate for operation of the aircraft.

B. The database application provides links to the different sub-tables from the Home Page and internal view screens.

C. Using the following standard reports links, It is possible to print—

- An up-to-date listing of all registered aircraft in the Aircraft database;
- An overall report containing the information in the database for a specific aircraft serial number, or
- A search of the CAA Action database for all inspector records associated with a specific aircraft registration number.


Aircraft Reports
These reports provide the ability to search the AIRCRAFT database for pertinent information concerning aircraft certificates and authorizations issued by the CAA.
All Registered Aircraft
Aircraft (Comprehensive)

1.6.2 PERSONNEL LICENSING

A. The Home Page Personnel Licensing links take the user to the PEL database Primary Record View and Enter (new entry) pages.

B. Both the View and Enter pages provide for the collection and viewing of detailed PEL information and history about a specific PEL license holder by number and name.—

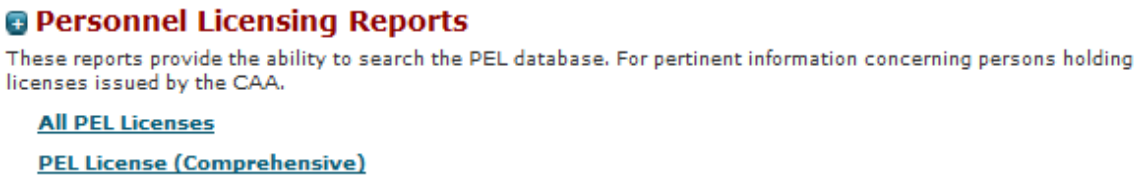
Expanded guidance regarding the Personnel Licensing database is included in Chapter 10.

- **Basic PEL License Information.** This is the primary table that contains the personal information about the PEL license holder. It is this table that will be edited by the Inspectorate as life changes occur, such as color of hair, weight, and address. It also provides internal links to the following sub-tables.
  - **PEL License**. This sub-table allows the tracking of each current license that is held by the airman. Each license will be a separate record in the sub-table.
  - **Medical Certificates.** This sub-table tracks the actions associated with the medical examinations and issuance of medical certificates to the airman.
  - **Contact Information.** This sub-table collects the address, phone and E-mail information to allow the Inspectorate to contact the license holder.
  - **License History** This sub-table allows the Inspectorate to collect the events that occur regarding the PEL license holder.
  - **Logbook Review** This sub-table allows the Inspectorate to track the logbook information that is obtained during the licensing and any investigation process.
  - **Designee Records**. This sub-table allows the Inspectorate to track the original and recurrent designation of a particular license holder with the authority to take action on behalf of the Inspectorate.

C. The database application provides links to the different sub-tables from the Home Page and internal view screens.

D. Using the following standard reports links, It is possible to print—

- An up-to-date listing of all PEL licenses in the Personnel Licensing database
- An overall report regarding a specific PEL license, or
- A search of the CAA Action database for all inspector records associated with a specific PEL license.


Personnel Licensing Reports
These reports provide the ability to search the PEL database. For pertinent information concerning persons holding licenses issued by the CAA.
All PEL Licenses
PEL License (Comprehensive)

1.6.3 CERTIFICATED ORGANIZATIONS

A. The Home Page Organization links take the user to the following table and sub-tables provided for the collection of digital records about a specific organization by business name and assigned number—

- **Basic Information**. This table provides the general information regarding the organization and the assigned CAA number.
  - **Organization Certificates**. This sub-table provides the information regarding a specific certificate(s) that has been issued to the organization.
  - **Base Locations**. This sub-table provides the company base and records location and contact information.

Expanded guidance regarding the Certificated Organization database is included in Chapter 11.

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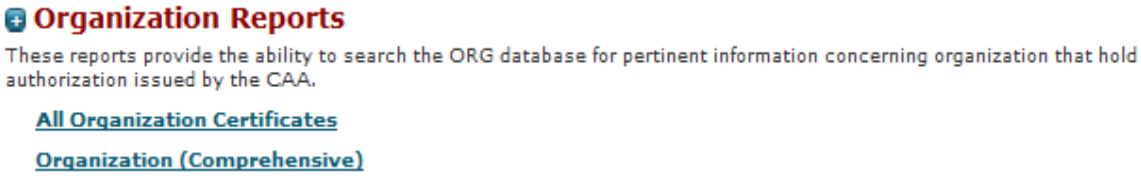
- **Management Contacts**. This sub-table provides the name, location and contact information for each required management position.
- **CAA Contacts**. This sub-table provides the name, location and contact information for each CAA inspector that is assigned to this organization.
- **Exemptions**. This sub-table provides the information regarding each exemption, deviation or waiver that has been granted to the organization.
- **Aircraft Listing.** This sub-table provides the information regarding each aircraft that is authorized to be used by the organization.
- **Complexity Review**. This sub-table provides the information about the numbers of persons employed by the organization in different technical specialities.
- **Policy Manual Approvals.** This sub-table provides the information regarding each policy manual approval (by revision number) that has been authorized to the organization.
- **AOC Operational Approvals**. This sub-table provides the information regarding each overall operational approval issued to the organization.
- **AOC Airworthiness Approvals**. This sub-table provides the information regarding each overall airworthiness approval issued to the organization.
- **AOC Fleet Approvals**. This sub-table provides the information regarding each approval issued to the organization for a specific fleet of aircraft.
- **AOC Station/Airport Approvals.** This sub-table provides the information regarding the specific airport/station that has been issued to the organization.
- **Contracted Services Authorizations.** This sub-table provides the information regarding the specific contractors used by the organization to conduct its safety operations.
- **AMO Approvals.** This sub-table provides the information regarding the specific approvals that have been issued to an Approved Maintenance Organization.
- **ATO Approvals**. This sub-table provides the information regarding the specific approvals that have been issued to the organization to operate as an Approved Maintenance Organization.
- **Aerial Work.** This sub-table provides the information regarding the specific approvals for aerial work operations that have been issued to the organization.
- **Non-Certificated Operations**. This sub-table provides the collected information regarding an organization that is conducting aviation business, but is not required to have an organizational certificate.

B. The database application provides links to the different sub-tables from the Home Page and internal view screens.

C. Using the following standard reports links, It is possible to print—

- An up-to-date listing of all certificated organizations in the Organization database
- An overall report containing the information in the database for a specific organization certificate number, or
- A search of the CAA Action database for all inspector records associated with a specific organization.


Organization Reports
These reports provide the ability to search the ORG database for pertinent information concerning organization that hold authorization issued by the CAA.
All Organization Certificates
Organization (Comprehensive)

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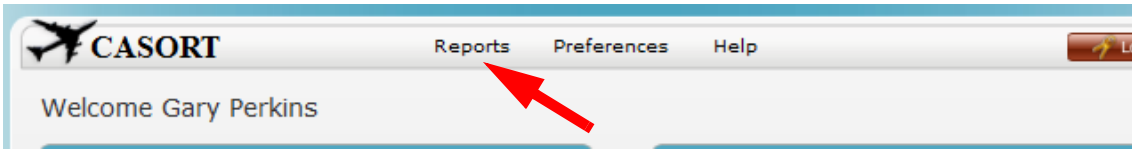
1.7 STANDARD REPORTS AVAILABLE

A. As previously mentioned, the CASORT database provides summary report capabilities for the safety oversight manager. This section summarizes the available reports that will be discussed in greater detail in later chapters.

B. The reports are accessed from the Home Page tab located at the top of the page.

The advantage of the standard report function is that it provides the data in a manner that is specifically designed for print-out of hard-copy records for emphasis through distribution and discussion.



C. These standard reports augment the comprehensive VIEW searches that can be made easily at any time.

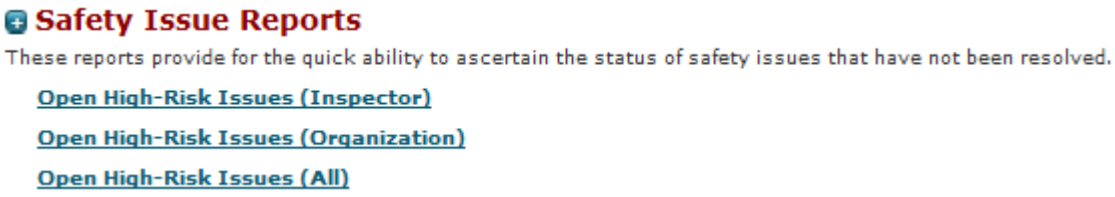
1.7.1 DATE SEARCHES

There is the capability to make date-specific searches of the CAA Action database. This provides management a method of quickly reviewing the inspector-entered records for specific periods of time.

CAA Action Search Reports
These reports provide for an overall search of the CAA Action database using specific report filters.
Specific Date CAA Action Search
Range of Dates CAA Action Search

1.7.2 OPEN SAFETY ISSUES SEARCHES

The standard reports provide the capability to search the CAA Action database records for all OPEN safety issues by inspector, organization or all open records. This is an excellent tool for interaction with the inspectors regarding the status and resolution of those safety issues in a timely manner.


Safety Issue Reports
These reports provide for the quick ability to ascertain the status of safety issues that have not been resolved.
Open High-Risk Issues (Inspector)
Open High-Risk Issues (Organization)
Open High-Risk Issues (All)

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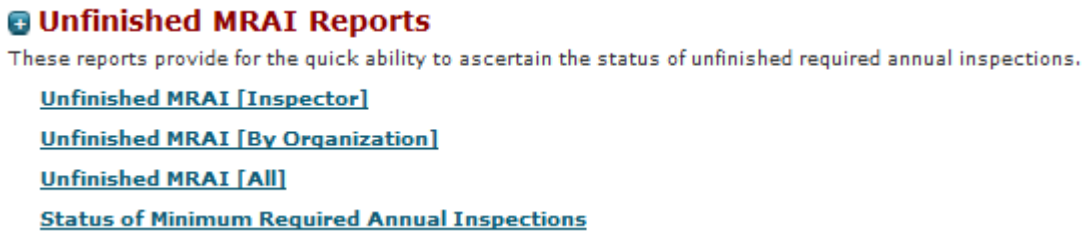
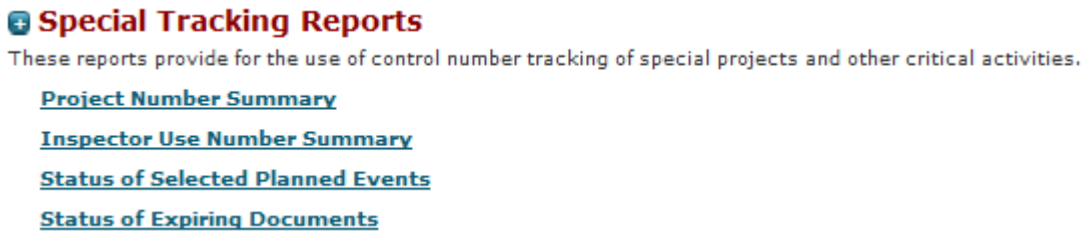
1.7.3 UNFINISHED MRAI SEARCHES

The following reports provide the capability to search the CAA Action database records for all UNFINISHED Minimum Required Annual Inspections. This is an excellent tool for interaction with the inspectors regarding the status and completion of those inspections in a timely manner.


Unfinished MRAI Reports
These reports provide for the quick ability to ascertain the status of unfinished required annual inspections.
Unfinished MRAI [Inspector]
Unfinished MRAI [By Organization]
Unfinished MRAI [All]
Status of Minimum Required Annual Inspections

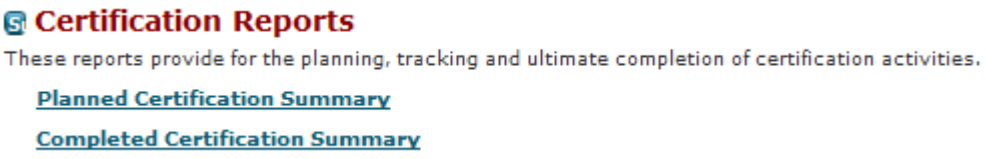
1.7.4 SPECIAL TRACKING (CONNECTED FILE) SEARCHES

The following reports provide the capability to search the CAA Action database records for all records that have the same connecting number in a specific field. This capability allows the search and compilation of critical reports in chronological order specifically for print-out.


Special Tracking Reports
These reports provide for the use of control number tracking of special projects and other critical activities.
Project Number Summary
Inspector Use Number Summary
Status of Selected Planned Events
Status of Expiring Documents

1.7.5 CERTIFICATION-RELATED TRACKING (CONNECTED FILE) SEARCHES

The following reports provide the capability to search the CAA Action database records for all records relating to certification that have the same connecting (Project) number. This capability allows the certification team to plan and complete certifications with digital summary reports for print-out.


Certification Reports
These reports provide for the planning, tracking and ultimate completion of certification activities.
Planned Certification Summary
Completed Certification Summary

1.7.6 AIRCRAFT SEARCHES

The following reports provide the capability to search the CASORT database from three different approaches. The first two links search the dedicated Aircraft database. The last link searches the

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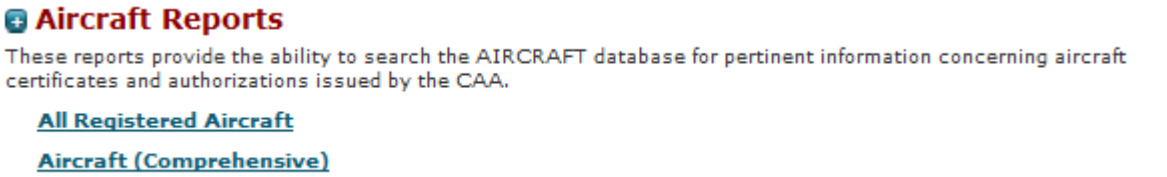
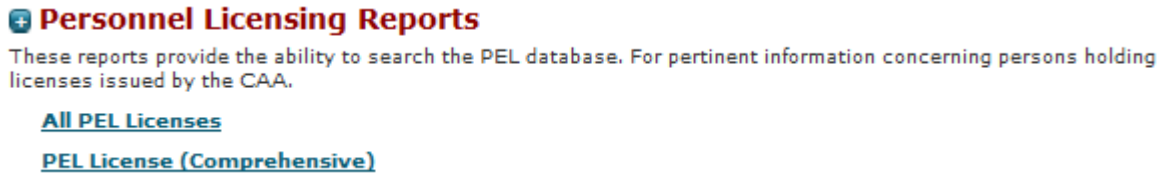
CAA actions. The second and third links search the CASORT database for all records for a specific aircraft.


Aircraft Reports
These reports provide the ability to search the AIRCRAFT database for pertinent information concerning aircraft certificates and authorizations issued by the CAA.
All Registered Aircraft
Aircraft (Comprehensive)

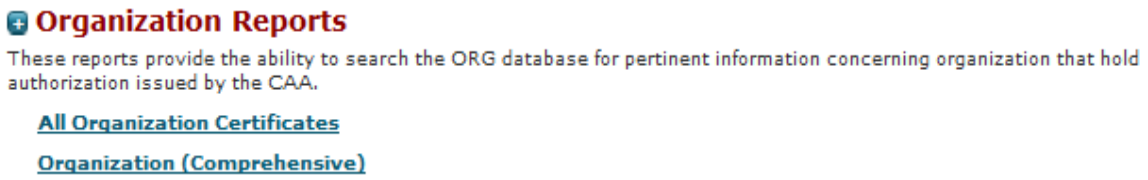
1.7.7 PEL LICENCING REPORTS

The following reports are similar to the aircraft searches, but focus on PEL licenses.


Personnel Licensing Reports
These reports provide the ability to search the PEL database. For pertinent information concerning persons holding licenses issued by the CAA.
All PEL Licenses
PEL License (Comprehensive)

1.7.8 CERTIFICATED ORGANIZATION SEARCHES

The following reports are similar to the aircraft searches, but focus on an organization.


Organization Reports
These reports provide the ability to search the ORG database for pertinent information concerning organization that hold authorization issued by the CAA.
All Organization Certificates
Organization (Comprehensive)

1.8 MANAGEMENT'S KEY ROLE

A. This database can be one of the MOST POTENT TOOLS for the flight standards manager – or it can fail to deliver the promised results.

Experience has shown that it is the manager's use and continuous support for use of the database that makes this database work to it's fullest potential.

B. This section offers some key management strategies for having the database perform to its full potential.

1.8.1 DATA BACKUP

A. There should always be a comprehensive program for backup of data. This data is, in many cases, irreplaceable and it's loss debilitating to the users. Several sections in these Help Contents discuss backup strategies.

B. The best backup strategy is to have the database on a dedicated computer with mirrored hard-drives with capability to do tape and CD or DVD backups on a daily and weekly basis. Failure to provide a dedicated system can be a costly mistake.

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C. Recognizing that this may be impossible at the outset of the program, the minimum backup philosophy should be "last 7 days, weekly, and monthly."

> The use of such a strategy will make it possible to retrieve data that may have just "disappeared," preventing a debilitating loss of records.

1) Using a marked set of re-writable CD or DVDs, a backup of the system should be accomplished at the end of each day for 5 days. (These disks are recycled through the period again.)

2) Then, assuming no identified problems through that 5 day period, do the end-of-week backup (which will be archived); and

3) At the end of the month, do end-of-month backup (which will be archived).

1.8.2 USE A NETWORK

A. Some offices have used a dedicated single computer to make the CAA Action database entries. While this may be an interim solution, a huge amount of possible entries will not get into the database. A single computer solution should be avoided.

B. A network with all of the users connected in some way will ensure that the users will all have access to the database. This database will handle large numbers of users at the same time. Use it to it's full potential.

1.8.3 APPOINT AT LEAST ONE DATA QUALITY COORDINATOR

A. Consistent output of credible reports from a database require someone to review the quality of the data on a regular basis.

B. Select the best compute-literate inspector(s) and assign them the role of Data Quality Coordinators.

> Refer to Chapter 7 of this manual regarding the responsibilities, qualifications and training of Data Quality Coordinators.

C. Get the the proper training and hold them responsibile for the quality of the data in the reports that are downloaded from the databases.

1.8.4 REQUIRE INSPECTORS TO USE COMPUTERS

A. Even the best of inspectors will have some reasons for why all of their entries are not getting into the database. These reasons range from "not computer literate" to "no access," with many other amusing and inventive reasons in between.

> - Lack of computer literacy cannot be allowed to be an excuse.
> - In the modern environment, it is a necessary technical skill to be able to use the computer effectively for word processing, research and e-mails.
> - Provide computers, training and continued support, but don't accept lack of literacy as an excuse.

B. The only valid reason for not making entries is when the user does not have access, through their own computer, to the database application. Management should ensure that each inspector has access to their own computer during work hours. The best solution is to provide a laptop that the inspector can use for work in the office and for travel.

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1.8.5 REQUIRE INSPECTOR PERSONAL ENTRIES

A. Many technical personnel from the "old-school" will want to make paper records and have a clerical person enter the records. This is also true of the drafting and authoring of letters. Do not allow or enable this behavior.

B. When these users develop some reasonable level of computer skills, they will be the first to complain when the system is "down" for some reason.

- There will be a period where these inspectors will complain and have many problems with their computers.
- Do not deviate from the concept that they must enter their own records.
- Make this a condition of employment and continued employment.

1.8.6 SET A MINIMUM DAILY GOAL

A. These records are the "evidence" of work accomplished, yet managers will find that inspectors are so involved in the process of doing the technical functions that they forget to make the records.

B. The best method of getting more concentration on the records is to set a minimum daily goal. (Five records per day is a suggested goal.) The existence of this goal, and knowing that the manager will be checking for those records, will reinforce to the inspector the need for record entry throughout the day.

C. Management should, once each workday, call up a standard report for all records entered that day (or the previous day). In general discussions with the inspectors, demonstrate an awareness of the CAA Action records and Safety Issues they have entered. This has a subtle, positive effect on numbers and timeliness of their record entries.

- This database has been developed to track and describe the inspectors' activities like a "story."
- Failure to enter records daily leaves big gaps in that "story."

1.8.7 SET ASIDE TIME FOR MAKING ENTRIES

A. Inspectors will always tell you that there is not enough time to make the entries. Management should make sure that the inspectors are aware that the entry of records is a primary function of their job.

If an inspector will not take the time to make the records – consider that there may be good reason to replace them with someone who does make the records.

B. A manager or supervisor should make a special effort to ensure that there is time for data entry. The bottom line reason that a technical inspector is employed is to have records of their activities and decisions.

1.8.8 MANAGEMENT SHOULD BE THE EXAMPLE

A. This database application was set up in such a way to also track many of the tasks and decisions of technical managers and supervisors.

B. The example of a manager or supervisor's knowledge and use of the application has a positive and reinforcing effect on the other users. It should not be unusual for inspectors to find that managers and supervisors are logged-in and using the system.

1.8.9 DISTRIBUTE AND DISCUSS REPORTS

A. There are three reports in the database application that should be printed out at least once a week—

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- Open Safety Issues
- Unfinished Minimum Required Inspections
- Status of Certifications

The completeness and validity of these particular groupings of records will also be the primary focus of international auditors.

B. Management should distribute and discuss these reports in a weekly staff meeting. These are the most critical tasks that inspectors should be focusing on. These weekly discussions will show them that management is aware of the status and completeness of these tasks.

1.9 EXPECTATIONS FOR INSPECTORS

A. The most vital link in the record chain is the individual inspector users.

B. It is important that they daily receive the message that their records are the primary reason that they are employed.

C. This section outlines some general thoughts regarding the training and motivation of inspectors to produce the required records.

1.9.1 INSPECTOR LIMITATIONS

A. It is useful to remember that in the aviation technical industry the primary objective is the movement of aircraft.

- As a result, the technical industry personnel have a mindset that is primarily geared to finding a way to allow an aircraft to fly; and
- Tend not to make good records of their actions and decisions.

B. Safety oversight inspectors are originally hired from the aviation industry based on a minimum technical experience level. It is then necessary to ensure that they have the training and qualification in the—

- Technical areas that they will be auditing, and
- The inspector skill sets that are different from the aviation industry knowledge and experience.

It is useful to remember that technical inspectors are not hired based on their writing skills.

C. One of the inspector skills that will be new to them is to make it a priority to record each activity, evaluation, inspection, and decision they make each day.

1.9.2 INSPECTOR'S CAPABILITIES

A. The primary abilities that technical inspectors absolutely need to be effective in their role are summarized as follows —

1) Auditing the aviation industry for conformance with the State's aviation law and regulations;

2) As a secondary priority, auditing the aviation industry for conformance with relevant and published safety practices;

3) Making technical decisions; and

4) Recording the results of their work - on each activity, evaluation, inspection and safety issue resolution – in a manner accessible to the management.

B. Failure to develop all four of these abilities will impact the effectiveness of the inspector.

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- Lack of ability to do (1), (2) or (3) will cause the inspector to have limited usefulness to the Inspectorate.
- Failure to adequately make records (4) will render the inspector unusable.

It is a mistake to retain inspectors who cannot - or will not - make the necessary records of their activities, evaluations, inspections, and safety issue resolutions.

1.9.3 MAKING RECORDS IS THEIR PRIMARY ROLE

A. From the beginning their employment, inspectors should be required to make "good records." At that point, the quality of their inspections and evaluations may be suspect – but the quality of their RECORDS should never be.

B. Without the "evidence" (records of their work), management should assume that the inspector has not done the work.

- Failure to make adequate records should be a reason to terminate the inspector for cause.
- Failure to make adequate records should be a reason to refuse payment to consultant inspectors.

The employment contract for consultants should include verbiage to that effect and establish a goal regarding the minimum daily records to qualify for payment.

C. These statements may sound harsh until you consider the outcome of their deficiencies in making the required records. If international auditors or an accident inquiry board looks at the CAA's records and finds them inadequate, the State or its airlines could—

1) Be embarrassed in the international media;
2) Lose international status as meeting ICAO Standards; and
3) Lose the right to fly to certain countries.

Failure of the inspector to make records of safety oversight is the primary reason that even good safety oversight programs ultimately fall short of meeting the standards.

1.9.4 TRAINING AND TRACKING

Management has a clear role with respect to inspectors and records; they must—

- Provide adequate formal training for the inspector in the use of the database and help contents;
- Provide on-the-job training on the use of the database, including documentation of a satisfactory check of the inspector's proficiency;
- Conduct random reviews of the inspector's database records;
- Routinely (weekly) review the summary reports for unfinished inspections, certification events and open safety issues; and
- EXPECT that inspectors will enter their activity records in accordance with prescribed methods.

1.10 DIGITAL INSPECTOR QUALIFICATION RECORDS

A. The CASORT database also provides for the digital collection and reporting of the accomplishment of the training and qualification of the inspectors.

Expanded guidance regarding the recording of inspector qualification in the CASORT database is included in Chapter 12.

B. A key factor in the credibility of a CAA's safety oversight program is the ability to show that the inspector workforce has been qualified for the functions that they perform. Paper records and files tend to be incomplete. Digital files keep the pertinent information in both summary and researchable form.

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C. The CASORT database allows the manager to track the day-to-day completion of training (via the CAA Action data entries) and the training completion (via the Training Record data entries). Both of these methods can be researched in minutes through the use of standard reports.

End of Chapter

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Chapter 2
Database Preparation Procedures

A. This chapter provides the general guidance and policies for the implementation of the CASORT database.

B. The information provided in this chapter is intended for overview purposes. Each area is covered in much more significant detail in later chapters in this instructions manual.

2.1 DEFINITION OF GENERAL TERMS USED IN THIS DATABASE

- **Page**. The database functions by taking the user from one "web page" to another. The term "page" will refer to monitor screens that are provided by the web browser.
- **Bar.** This term will refer to apparent index bars that appear on some web pages within the database. Depending on the circumstances as defined in this chapter, those bars may also be links.
- **Link**. This term will refer to identified location on a page that, when selected, will navigate to another web page.
- **Table**. This term will refer to a primary database with the CASORT database.
- **Sub-table**. This term will refer to secondary tables that are associated with a specific table.

2.2 WEB BROWSER SETTINGS

A. The CASORT database is a "web-based" application. This set-up allows the user to make entries and navigate within the database as if they were actually on the Internet.

If the user has not yet demonstrated computer skills, the Database Administrator may need to enter or check these settings to ensure that they are entered correctly.

B. The tool bars will be familiar because they will be set for the same browser software the user has at home for the Internet. The user should be able to use skills they already have to navigate in this database.

C. It is important that the user ensure that their web browser's Internet settings are set so that the browser does not restrict certain functions from the user.

See Appendix 2-A for more specific guidance re Internet Explorer settings.

2.3 DATABASE GENERAL NAVIGATION

A. The purpose of this section is to discuss the different forms of Web-Browser Navigation that the user will encounter when using the database software.

B. Navigation is the act of moving from page to page using the Web-Browser and the links provided in the database application

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2.3.1 WEB-BROWSER GENERAL NAVIGATION

A. Regardless of the Web Browser software used (Internet Explorer, Netscape, Mozilla, etc.) there are some basic functions that will always be included—

1) Back Arrow
2) Forward Arrow
3) Home
4) Refresh
5) URL Line

It will not be necessary to use the URL Line while working in the CASORT database.

B.Clicking on the BACK arrow navigates back to the last previous page viewed. If the user has viewed a number of pages, they will be able to click back page by page to the first page viewed (except when one of the previous pages has timed out).

C.Clicking on the FORWARD arrow (when it is illuminated) will allow a user to return to the pages that they "backed" away from.

D.Clicking on HOME will take the user to the Web-Browser "Home" page.

It will not be necessary to use the "Home" function while using the CASORT database.

E.Clicking on REFRESH will update the page that the user is currently on. (Having an "old" version of the page is generally a result of failure to set the Web Browser to refresh each time the page is selected.)

2.3.2 TAB KEY AND CURSOR

Moving within a data entry form is accomplished by—

1) Using the Tab Key to move from box to box; or
2) Using the Mouse cursor to select the next box.

- When using the TAB key, the cursor moves from box to box based on the "tab order."
- The tab order was established by the database creator and usually cannot be revised.
- Using the mouse to change the cursor allows the user to select the next entry box to be used.

2.3.3 NAVIGATION THROUGH LINKS

Most navigation in the CASORT database is accomplished through links.

Navigation from one page to another is accomplished by left-clicking on links.
Much of the following information will also be presented separately in the following chapters

2.3.3.1 Home Page Links

One group of "buttons" (links) that the user will experience will be on the Home Page, such as shown to the right.

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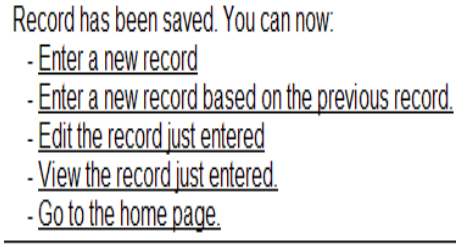
2.3.3.2 Home Page Tabs are Links

Another set of Home Page links have a different presentation (as Tabs) but accomplish the same function which is to link to other pages..

2.3.3.3 Links After Data Entry Save

Select ***GO*** (which places the record in the database). If this record is accepted by the database for storage, the user will be provided the following choices—


Record has been saved. You can now:
- Enter a new record
- Enter a new record based on the previous record.
- Edit the record just entered
- View the record just entered.
- Go to the home page.

- ***Enter a new record*** - will open a new blank data entry page.
- ***Enter a new record based on a previous record*** - will open a duplicate record of the record you have just entered. This allows the user to make small changes to repetitive records without having to reenter all of the similar data in the record.
- ***Edit the record just entered*** - will open the record just saved so that minor corrections may be made.
- ***View the record just entered*** - will open the view/print page for the record just entered.
- ***Go to the home page*** - will take the user back to the Home Page.

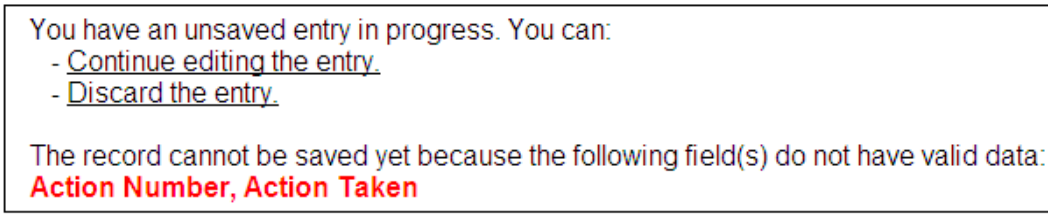
2.3.3.4 Unsaved Entry links

The following links appear when the user attempts to save or leave a record that is incomplete.

These links will only appear if the user leaves the record before all REQUIRED (red label) fields are completed.

- ***Continue editing the entry*** - allows the user to return to the record and complete the necessary information to save the record.
- ***Discard the entry*** - allows the user the choice to exit the entry page and return to the Home Page without saving the record.

Unsaved entry


You have an unsaved entry in progress. You can:
- Continue editing the entry.
- Discard the entry.
The record cannot be saved yet because the following field(s) do not have valid data:
Action Number, Action Taken

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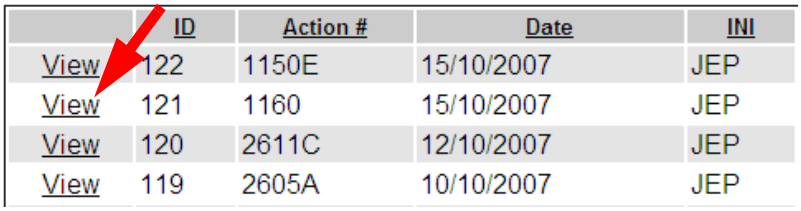
2.3.3.5 Selecting A Specific Record from a View Page

Some links will take the user to listings of records such as shown below. The user should left-click the VIEW link opposite the record ID wanted to navigate to that particular record.

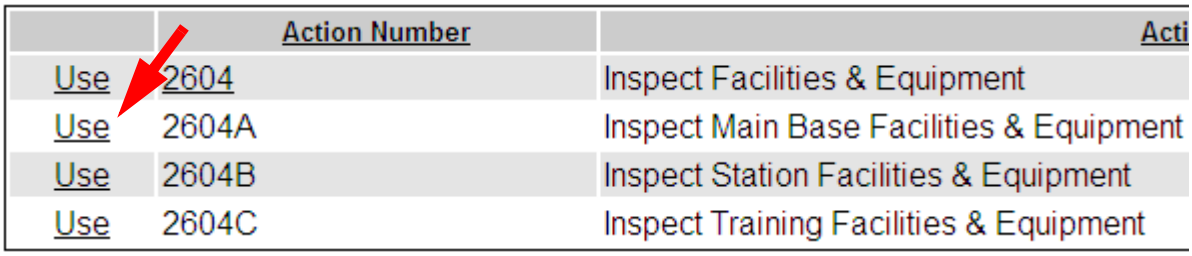


	ID	Action #	Date	INI
View	122	1150E	15/10/2007	JEP
View	121	1160	15/10/2007	JEP
View	120	2611C	12/10/2007	JEP
View	119	2605A	10/10/2007	JEP

2.3.4 ACTION CHOICES (OR BUTTONS)

2.3.4.1 "Use" Links

Some links will make a selection of an entry from a list of possible entries, such as shown below. Left-clicking on the ***Use*** link opposite the information line to be selected puts that information into an entry field.



	Action Number	Acti
Use	2604	Inspect Facilities & Equipment
Use	2604A	Inspect Main Base Facilities & Equipment
Use	2604B	Inspect Station Facilities & Equipment
Use	2604C	Inspect Training Facilities & Equipment

2.3.4.2 Search Button on View page

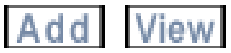
A. Examples of other ACTION features include the "Search" Button on the ***View*** page.

- This feature allows a search of any of the fields in the selected primary or sub-table.
- The search can be "word-specific". (such as a search for a name).

B. The user defines a search by making entries in the two fields provided, then left-clicks on this button. That action will initiate the search selected in the search criteria fields.

2.3.5 LINKS AND ACTION COMBINATIONS

2.3.5.1 ADD/VIEW Buttons



The ADD and VIEW BUTTONS on the primary table allow the user to take a specific action to-

These buttons are located on the primary table and allow the user to access an associated sub-table.

- ⇨ ***Add*** *a new sub-table record*. (This action button opens a new database entry page.)
- ⇨ ***View*** *one (at a time) of the current sub-records* that are associated with the primary record.

- Generally it is preferable that viewing of the records associated with the primary table be accomplished through the Home Page links (where a detailed listing is available) for the particular sub-table.
- But, when necessary, it is possible to view the associated records on a one record at a time basis through this View Button.

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2.3.5.2 The Sub-table Save and Return

The sub-tables to the primary record will have the following options when accessed ("viewed") from the primary record—

- ***Save and Return*** – will save the information entered in the sub-table and return to the data entry page for the primary record.
- ***Cancel*** – will return to the data entry page for the primary record without saving any information entered.

If any information was entered on the data entry form for the sub-table, the "Unsaved Entry" links will appear.

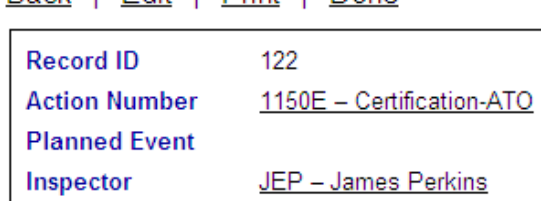
2.3.5.3 Edit Selections

A. Left-clicking on any VIEW link to a specific record will bring up a VIEW page that displays all of the information contained in the primary or sub- table for that specific record.

B. The page also contains the following action/link choices above and below the displayed information—

- When this menu is displayed, the preferred method for navigating "back" to the previous page is through this BACK link.
- Inspector users will not be able to edit CAA Action records entered by other inspectors. This is reserved for the supervisory personnel.

- ***Back*** – performs the same action as the back arrow on the Web Browser toolbar.
- ***Edit*** – will retrieve the record from the database and provide it to the user in a data entry page.
- ***Print*** – will initiate the normal printing command and will print all of the displayed information.



2.3.6 SUMMARY

A. Using a web-browser and the navigation methods in these database tables is very similar to those experienced by the user with their personal Internet access.

Much of the information provided in this Section will be repeated where necessary in other Help Sections.

B. It should be easy for the user to navigate in this database.

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2.4 LOG-IN PAGE ORIENTATION

The database can be accessed through the dedicated computer - or - a terminal within an Intranet - and/or - through the Internet (if the CAA server has Internet access).

2.4.1 LOG-IN PAGE APPEARANCE

A. To access the database, click on the user preferred access (either Desktop Icon or Book marked Favorite).

B. The Log-In Page for the CASORT database will appear.

C. The Log-In Page has a number of features that are discussed here.

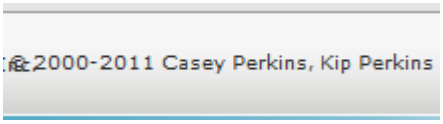
Thu Apr 14 2011 20:07:38 GMT-0500 (Central Daylight Time)
CASORT
Civil Aviation Safety Oversight Reporting and Tracking Suite
Not Logged In
Training Server. Do not use for Production activity.
Notice
Licensed for use by <Placeholder Name> only.
All licensed users must read the License Agreement before logging into this database for the first time.
By logging into the Civil Aviation Safety Oversight Reporting and Tracking Database (CASORT), you agree to both the terms and conditions of the license agreement.
LOG IN
Username:
Password:
LOG IN
Database License ••• Documentation License ••• Contact AVSOG
Worldwide Exclusive Distribution Rights assigned to Aviation Safety Oversight Group, Inc. ©2000-2011 Casey Perkins, Kip Perkins

2.4.2 COPYRIGHT NOTICE

A. The copyright notice appears at the bottom of the Log-In Page and all subsequent pages.

B. This is a reminder that the use of this database is subject to United States and other copyright laws contained in international treaties.

C. The Licensee for use of the database will also appear here and in the User License Terms. The Licensee is then authorized to have assigned end-users of the database.

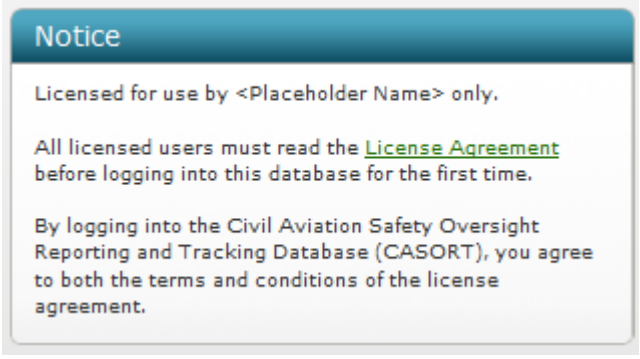


2.4.3 USER LICENSE

A. The user license is contained under the links on the log-in page.

B. Each civil aviation authority that is issued this license may have as - *end-users* - all of their employees.

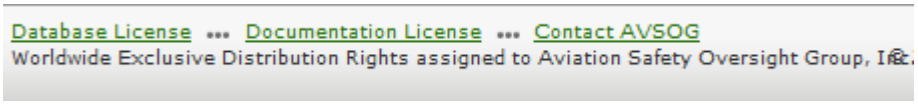
C. Clicking on that link will bring up the User License.


Notice
Licensed for use by <Placeholder Name> only.
All licensed users must read the License Agreement before logging into this database for the first time.
By logging into the Civil Aviation Safety Oversight Reporting and Tracking Database (CASORT), you agree to both the terms and conditions of the license agreement.

2.4.4 [DELETED]

2.4.5 END-USER AGREEMENT

A. The lower center button on the log-in page is labeled “Authorized End-Users.”


Database License ••• Documentation License ••• Contact AVSOG
Worldwide Exclusive Distribution Rights assigned to Aviation Safety Oversight Group, Inc.

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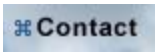
B. Clicking on that button will bring up the end-user agreement.

2.4.6 CONTACTING AVSOG

A. The proper way to contact AVSOG is to go to the website: www.avsog.com. Select the ***Contact*** link located in the upper cloud banner.



B. Enter the required information for an e-mail response including—

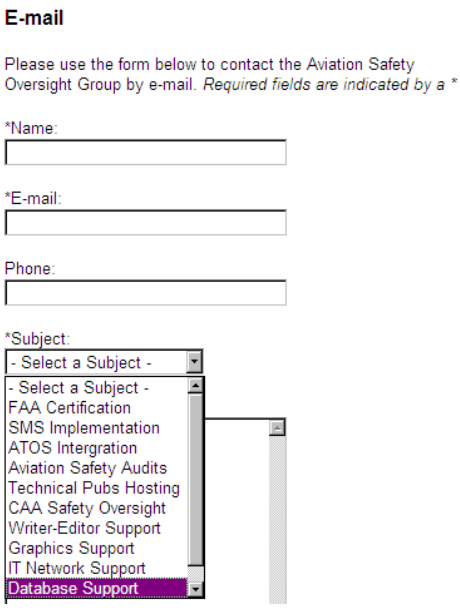
1) Name (First and Last)

2) E-Mail Address you want a response sent to (double check for accuracy)

- ♦ The e-mail address you enter is critical for AVSOG to identify that your request is not "SPAM."

3) A phone number is optional.

4) From the drop-down menu of the Subject field choose ***Database Support***.



2.4.7 REPORTING BUGS

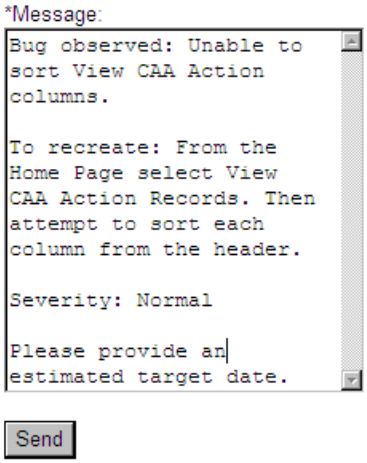
A. To report a bug in the CASORT software, the Licensed User should follow the Contact instructions provided in paragraph 2.4.5 of this chapter.

B. Enter a message describing the problem in the format of the example provided in the example to the right. The user must—

1) Provide a detailed explanation of the bug observed;

2) Describe the steps taken by the user which resulted in the problem;

- ♦ This is essential for the AVSOG programmer be able to recreate and correct the bug.
- ♦ If the AVSOG programmer cannot recreate the problem the user will be advised via e-mail.
- ♦ Taking the time to provide adequate detail to recreate the problem will minimize the length of time needed to correct the bug.


*Message:
Bug observed: Unable to sort View CAA Action columns.
To recreate: From the Home Page select View CAA Action Records. Then attempt to sort each column from the header.
Severity: Normal
Please provide an estimated target date.
Send

3) It is also essential to note the severity and priority of this bug to the user. Select from the following list the severity—

(a) **Blocker** = Entries cannot be made into the database.

(b) **Critical** = Entries cannot be made in the CAA Action Entry form or the Safety Resolution entry form of the database.

(c) **Major** = Entries cannot be made in the associated entry forms for the ORG, Aircraft, PEL, or Qualification portions of the database.

(d) **Normal** = A bug is being experienced, but it is possible to make entries until corrected.

(e) **Minor** = Entries can be made, but user believes a correction is should be made.

(f) **Trivial** = Entries can be made, but user notices an inconsistency that the programmer should consider correcting.

(g) **Enhancement** = The user would like to have a change or addition to the database that will make it more effective for their use.

C. User should review the information provided for clarity and accuracy before clicking ***Send*** button to transmit their request to AVSOG.

2.5 LOG-IN PROCEDURES

A. The purpose of this section is to illustrate the procedures for logging in to the database.

B. This section assumes that the user has an assigned user name and password.

Do not log in to the database if you do not accept the terms of the software license.

2.5.1 ASSIGNED USER NAME

A. Each user will be assigned a user name by the DatAdmin. It is important that all user names follow the same editorial philosophy.

B. For example, assume that the user's name is Homer Wilson. In the following example, user names are all lower-case letters with the first initial and the last name sequenced together.

C. This is not the only method. The management of the office will decide the editorial philosophy.

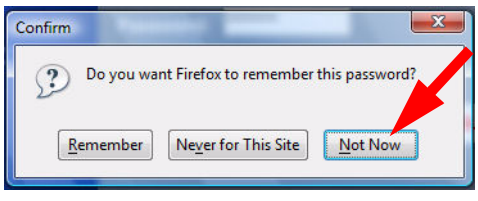
D. It is important that the user understand the method to be followed.

2.5.2 TEMPORARY PASSWORD

A. Each user will also be assigned a temporary password for the first log-in. The DatAdmin obtains that temporary password from the database administrative processes.

B. Some web browsers have a pop-up box (like the example shown) which asks if the user would like to save their password.

- DO NOT SAVE the TEMPORARY password.



C. After log-in, the user will follow the procedures in the next section to change and personalize that password, so that no other person knows it.

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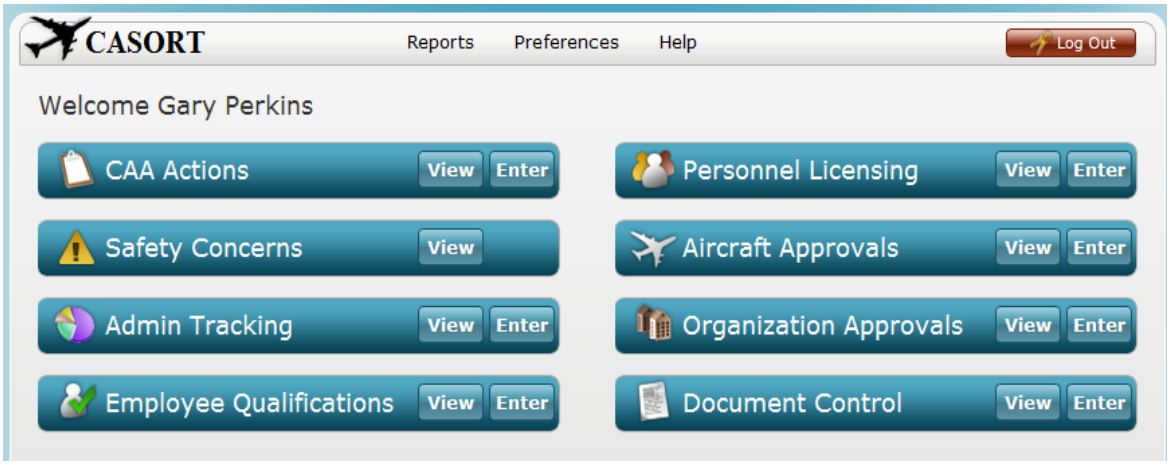
2.5.3 LOG-IN PROCEDURES

1) Enter the user name assigned by the DatAdmin.
2) Enter the random generated password provided by the Administrator.
3) Left-click on the "Log-In" button. (Depressing the return key will also activate the log-in.)
4) The Home Page should appear with the *name of the person* that has logged in on the top left corner.
5) At log-in the user's name will appear at the top of the screen. The database will default to this user's name and location when opening any data entry page.



6) You are now ready to navigate from the home page to other portions of the database.

2.5.4 UNSUCCESSFUL LOG-IN

A. If you did not log-in successfully, this banner will appear across the top of the Log-In page.

Username or password not valid

B. Attempt re-entry using special emphasis to ensure that the user name and password are entered correctly.

C. If this second attempt was unsuccessful, contact the DatAdmin.

You must successfully enter the log-in information to be allowed access to the database.

2.6 SETTING YOUR PERSONAL PASSWORD

A. This section will discuss how a person sets his/her personal password.

Remember that your DatAdmin will not know and cannot retrieve your personal password from the system. The only option is to "reset" another temporary password.

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B. This section assumes that you have already entered the database with the temporary password provided by your DatAdmin.

> For computer security, an inspector should never let anyone, including the DatAdmin, know his/her personal password. Report any person's request for your password to the office manager.

2.6.1 OBTAINING ANOTHER TEMPORARY PASSWORD

A. The DatAdmin can request that the database provide a temporary password for you.

B. The database provides a random "numbers+letters" temporary password which the administrator will give to you.

The action of asking for a temporary password will *wipe out any memory* of your old password and replace it with the temporary one.

C. It will now be necessary for you to enter the database with the temporary password and replace it with you own personal password.

D. Entering your personal password wipes out the temporary password.

> Only you should know your password.

2.6.2 PROTECT YOUR PASSWORD

A. The database logs keystrokes and entries *to you* when any person enters it with *your password* (either the temporary or your personal password).

B. There have been instances in which persons intended to harm an inspector's reputation by entering fraudulent records under that inspector's personal password.

> Do not let any other person know your password.

C. Do not write your password down near your desk or in your books.

> Remember that if you forget your password, the system administrator can obtain a new temporary password. Then you can reset your personal password.

2.6.3 SELECTING YOUR PASSWORD

A. Computer hackers take great delight in trying to break your password. The simple attempts use your name or the name of someone in your family and the dates of their birthdays.

B. Do not use phone numbers or addresses.

C. Use a random sequence of eight (8) digits of numbers, letters and/or symbols known only to you.

> Make it a good password. Remember! You can always re-enter with a temporary password - but you cannot always recover the damage that others can do with your personal password.

D. Remember that the database is "case-sensitive" when it compares the password you enter with the password it has for you in the files.

> "Case-sensitive" means that if you use lower-case letters (abcd) to make your password, you must use lower-case letters when you enter it. If you were to enter upper-case letters (ABCD) by mistake, the database will reject your log-in.

2.6.4 ENTERING YOUR PERSONAL PASSWORD

After you log-in to the database with your temporary password—

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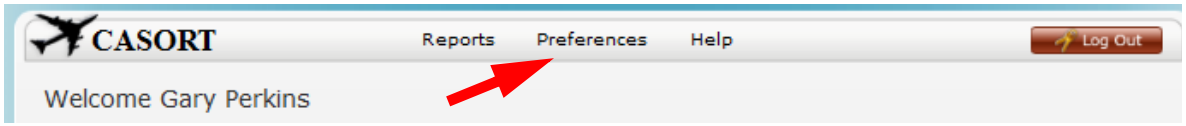
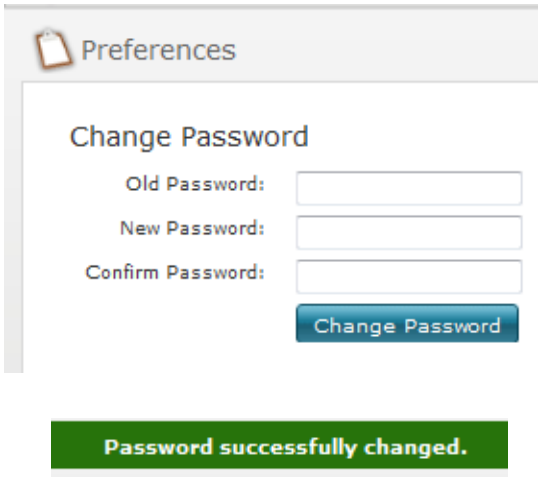
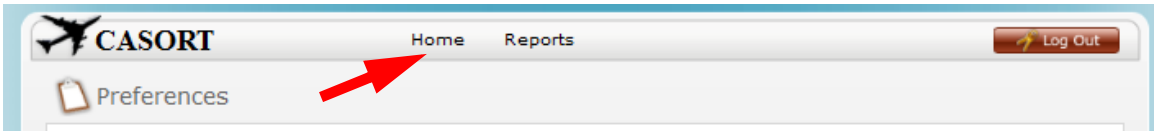
1) To enter your personal password, find the “Preferences” tab in the top middle of the screen;



2) Left-click on the “Preferences” tab;
3) The “Change Password” screen should appear;
4) Type your old password in the “Old Password” box;
5) Type your new password in the “New Password” box;
6) Type your new password in the “Confirm Password” box;
7) Left-Click the “Change Password” button.
8) If you have made the proper entries, the “Password successfully changed” message will appear.
9) Left-click on “Home” or “Logout” to proceed.





2.6.5 PASSWORD SETTING ERROR MESSAGES

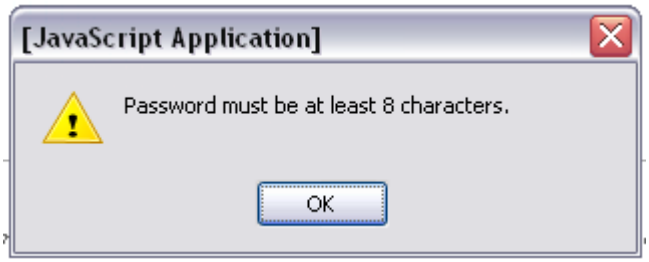
A. You are “typing in the blind” any time you enter a password. The computer just inserts asterisks for the characters. It can be frustrating when it does not seem that you can enter the proper sequences to change the password.

B. Be extra careful as you enter each of the three passwords. Don’t try to type the characters fast.

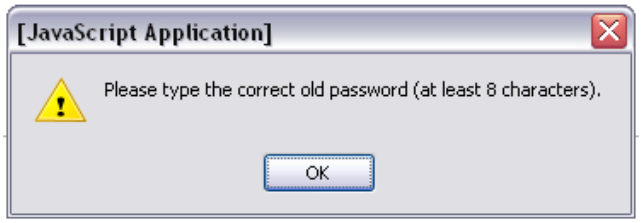
Regardless of the error, it will be necessary to re-enter all three fields.

C. The most common error is to make a spelling or sequence error between the “Enter New Password” and “Confirm Password.” This error message will result.

D. This database requires that all passwords be eight (8) characters. Disregard the words “at least.” Do not make the password shorter or longer than 8 characters.



E. This is the least common of the error messages if you are extra careful entering the temporary password. Check for upper or lower case entry errors.

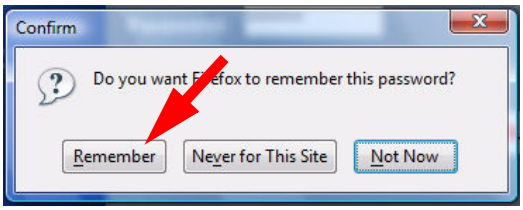


2.6.6 SAVING THE USER PASSWORD

A. Some web browsers provide the option to save the user name and password for quick log-in.

- NEVER save a password on a public or shared computer.
- Users should only do this on their assigned personal computers.
- CAUTION - it is essential that if the user chooses to save their password on log-in it is entered correctly, otherwise the user may find it difficult to correct the saved password.
- Saving the user password provides for faster log-in without typing.

B. The user may select the correct button for the web browser to remember their user name and password.



The Remainder Of This Page Intentionally Left Blank

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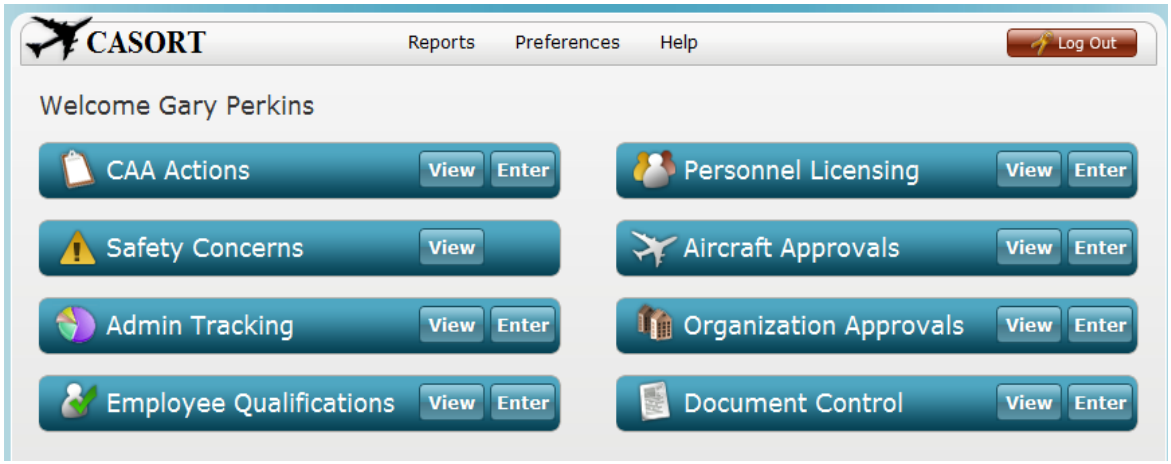
2.7 HOME PAGE ORIENTATION

A. The first page that appears after the user signs into the CASORT database is designated the "Home Page."

B. This is the page that the user will transition through to get to the various functions, tables and reports contained in the database.



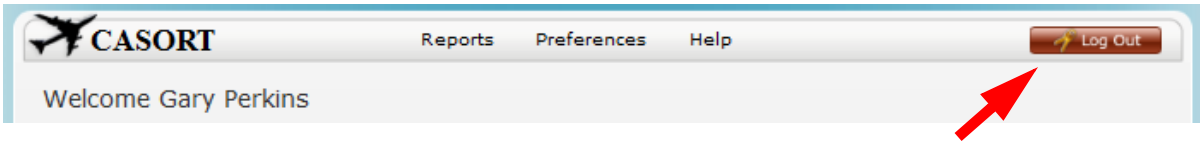
C. Because the database recognizes the user's sign-in, it automatically begins displaying their name on the Home Page. (This example shows that Gary Perkins is signed in to the database.)

This user recognition feature is applied by a defaulting program throughout the database.

2.7.1 HOME PAGE LINKS

A. These tabs appear at the top of the home page. As discussed in the previous section, these tabs are links that allow the user to navigate to specific standard points in the database.

The available tabs will vary depending on the database screen be accessed, but Home-Help-Logout will appear on all screens.



2.7.2 LOGOUT BUTTON

A. "**Logout**" will take the user out of the database to the Log-In Page. Returning to the databases will require a full log-in.

"Home" and "Logout" will be the tabs used most frequently.

B. It is very important to logout when exiting CASORT, rather than just "closing" the database. database.

Closing the software without logging out leaves a "shadow user" in the database which affects memory slowing down other users.

2.7.3 REPORTS LINK

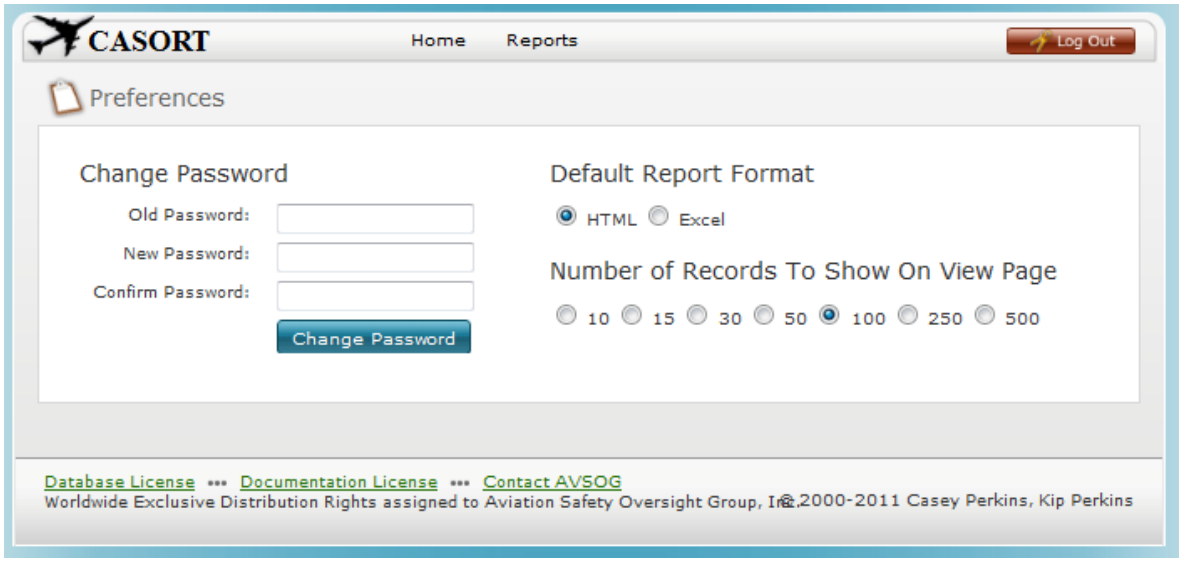
The "**Reports**" link allows the user to select standard reports from the database. These standard reports allow the user to quickly build a report for viewing and printing. These standard reports were developed to address the reporting requirements of a safety oversight organization..

CASORT
Home
Preferences
Log Out
Choose a Report Category and Report
CAA Action Search Reports
These reports provide for an overall search of the CAA Action database using specific report filters.
Safety Issue Reports
These reports provide for the quick ability to ascertain the status of safety issues that have not been resolved.
Unfinished MRAI Reports
These reports provide for the quick ability to ascertain the status of unfinished required annual inspections.
Certification Reports
These reports provide for the planning, tracking and ultimate completion of certification activities.

2.7.4 PREFERENCES LINK

A. Clicking on the Link for "**Preferences**" will take the user to a screen that allows the user to—

1) Change their password (previously discussed); ;



2) Set the number of records (default=100) displayed on a View Page; and

3) Set the format (default=HTML) that the reports provide their data to HTML or MS-Excel.

- Excel is no longer a relevant selection because the selection now made when selecting the specific report,

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B. When any of these three preferences are changed a banner will appear indicating that the database has now saved that value.

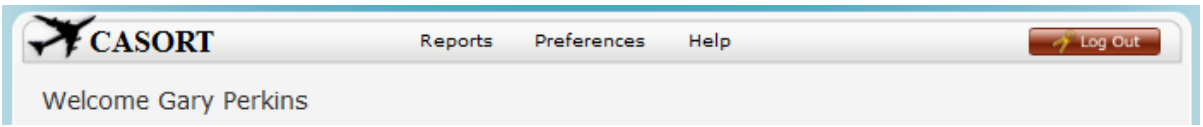
2.7.5 HELP TAB

A. Selecting the tab for "**Help**" provides access to pertinent CASORT information.

- To view the Help contents require that the user have free software for Adobe Acrobat Reader installed on their computer.
- A link to download Adobe Acrobat Reader is provided.

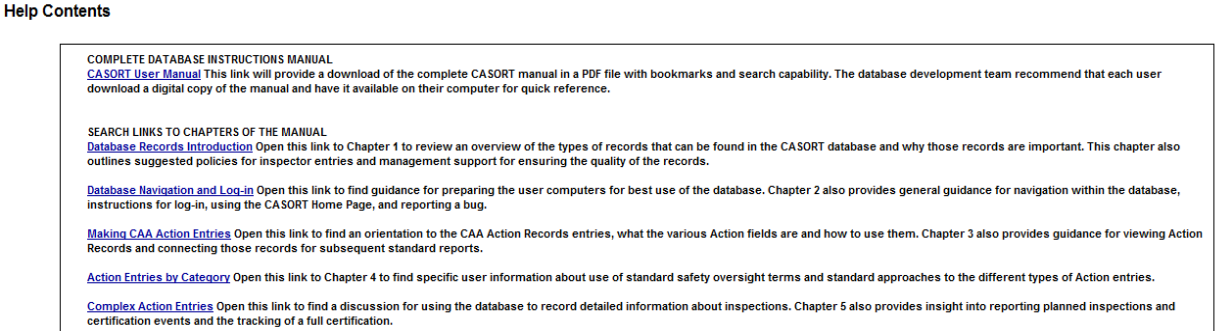
B. The Help Contents currently include—

- Quick downloads of specific chapters of this manual
- Download of the complete generic CASORT Manual
- Downloads of MS Excel templates for constructing upload tables
- Worldwide directory of aerodromes and their Location Identifiers



2.7.5.1 Quick Review: Individual Chapters of Manual

A. For quick referencing of the available guidance, each chapter of the manual is included as a separate link in the help contents. This separation provides for a quicker display of the guidance than downloading the full manual..

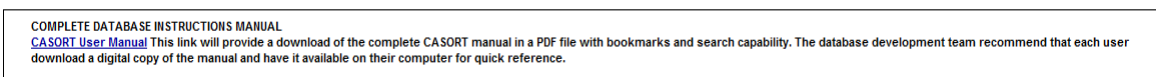

Help Contents
COMPLETE DATABASE INSTRUCTIONS MANUAL
CASORT User Manual This link will provide a download of the complete CASORT manual in a PDF file with bookmarks and search capability. The database development team recommend that each user download a digital copy of the manual and have it available on their computer for quick reference.
SEARCH LINKS TO CHAPTERS OF THE MANUAL
Database Records Introduction Open this link to Chapter 1 to review an overview of the types of records that can be found in the CASORT database and why those records are important. This chapter also outlines suggested policies for inspector entries and management support for ensuring the quality of the records.
Database Navigation and Log-in Open this link to find guidance for preparing the user computers for best use of the database. Chapter 2 also provides general guidance for navigation within the database, instructions for log-in, using the CASORT Home Page, and reporting a bug.
Making CAA Action Entries Open this link to find an orientation to the CAA Action Records entries, what the various Action fields are and how to use them. Chapter 3 also provides guidance for viewing Action Records and connecting those records for subsequent standard reports.
Action Entries by Category Open this link to Chapter 4 to find specific user information about use of standard safety oversight terms and standard approaches to the different types of Action entries.
Complex Action Entries Open this link to find a discussion for using the database to record detailed information about inspections. Chapter 5 also provides insight into reporting planned inspections and certification events and the tracking of a full certification.

B. It easier for the user to check the guidance

- Expand the bookmarks to search deeper into the chapter headers
- Using the "Find" feature to word or phrase search the document
- Page through the document (in single or double page view)
- Enlarge or shrink the size of the document viewed

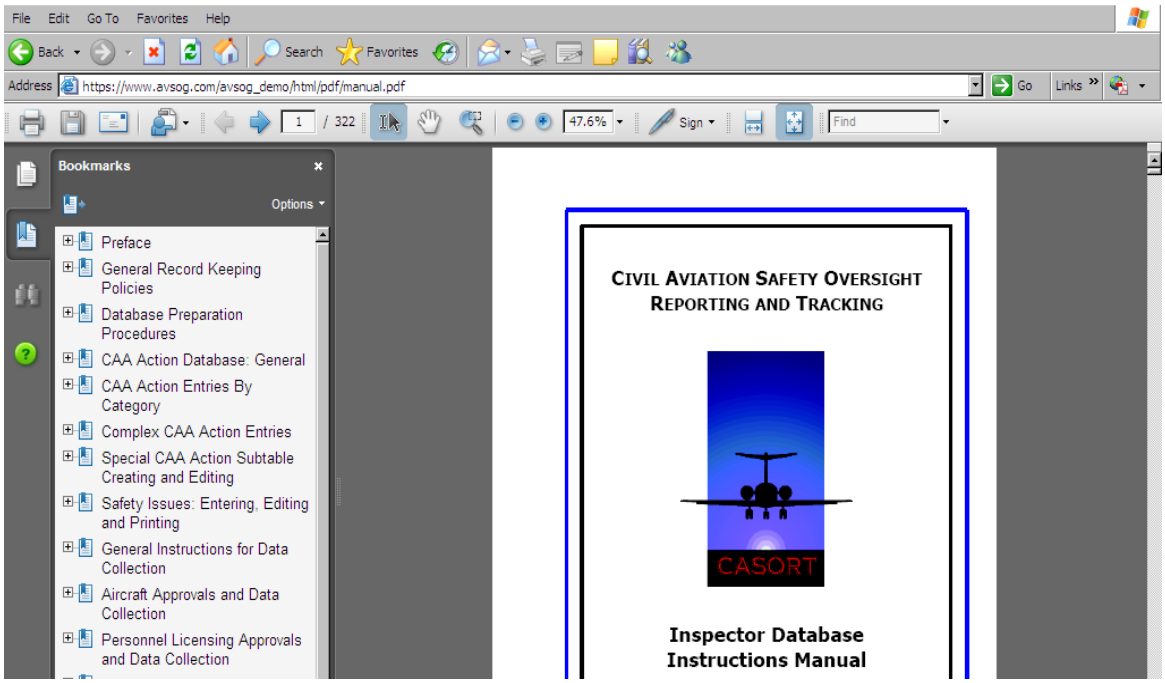
2.7.5.2 Complete Download of CASORT User Manual

A. Selecting the ***CASORT User Manual*** link will take the user to the CASORT Inspector Database Instruction Manual displayed in Acrobat Reader


COMPLETE DATABASE INSTRUCTIONS MANUAL
CASORT User Manual This link will provide a download of the complete CASORT manual in a PDF file with bookmarks and search capability. The database development team recommend that each user download a digital copy of the manual and have it available on their computer for quick reference.

B. The Database Instruction Manual will first be presented with the Adobe Acrobat Reader menu across the top of the page and the bookmarks to the left of the cover page of the manual. Using the menu the user may—

- Save the manual to a file on the user's hard drive
- Page through the document (in single or double page view)
- Enlarge or shrink the size of the document viewed
- Using the "Find" feature to word or phrase search the document
- Expand the bookmarks to search deeper into the chapter headers
- Close the bookmarks in part or entirely to view the manual in larger type



- A printed version of the manual is desirable for training and general review, but the user should be aware that the database will be updated and enhanced from time to time. This will include the most current version of the manual.
- The user should consult the Help Contents under the "Help" tab to ensure that the most up-to-date information is being used.

2.7.6 DATABASE "BARS"

A. The main body of the Home Page contains the different databases as indicated by the blue-green bars. The example bar "CAA Actions" is shown

B. These "bars" have no function other than to identify the provide for the View and Enter functions related to that database.

C. There are two types of links that are available provided on these bars.

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2.7.6.1 "Enter" Buttons

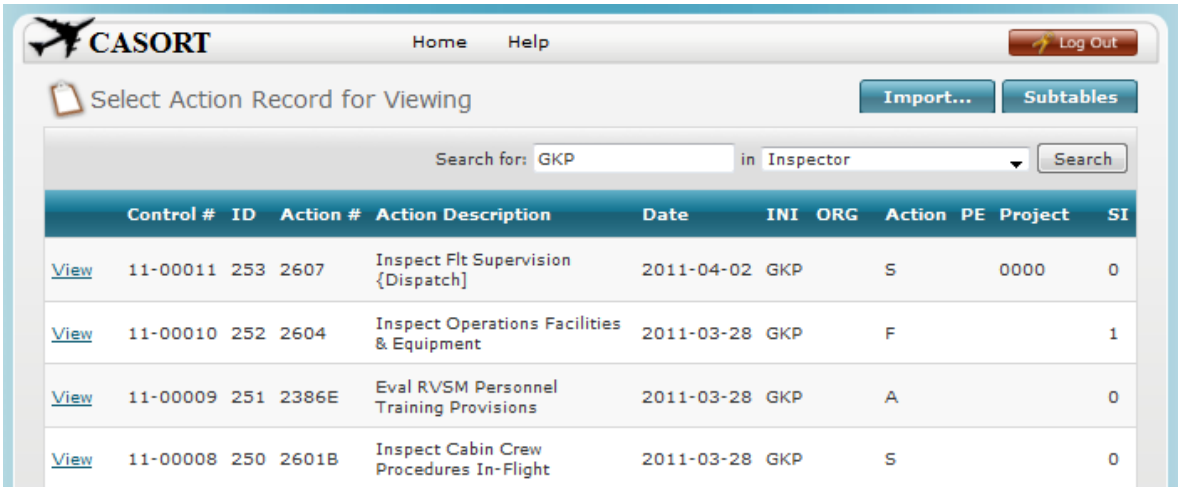
Selecting the ***Enter*** button on these bars will take the user directly into the primary data entry form for that database.

- The Enter button will only appear on the database bar if the user has been assigned permissions (by the DatAdmin) to make entries in the database.

2.7.6.2 "View" Buttons

A. Selecting the ***View*** button navigate the user to a view page listing of the primary records available.

- The View button will only appear on the database bar if the user has been assigned permissions (by the DatAdmin) to make entries in the database.
- In the following example, the Home Page "*View*" button for "CAA Actions" was selected.



	Control #	ID	Action #	Action Description	Date	INI	ORG	Action	PE	Project	SI
View	11-00011	253	2607	Inspect Flt Supervision {Dispatch]	2011-04-02	GKP		S		0000	0
View	11-00010	252	2604	Inspect Operations Facilities & Equipment	2011-03-28	GKP		F			1
View	11-00009	251	2386E	Eval RVSM Personnel Training Provisions	2011-03-28	GKP		A			0
View	11-00008	250	2601B	Inspect Cabin Crew Procedures In-Flight	2011-03-28	GKP		S			0

B. This CAA Actions View Page is defaulted to show the records of the person logged-in.

- On all View Pages the records will initially be presented in ascending order, with the last record entered at the top of the page.
- The defaulting for the View Page varies depending on the database. .
- Selecting a header on a View Page will cause that particular header to be the "sorting" column (either ascending or descending).

- CAA Action default=only the user's CAA Action records.
- SI default=all OPEN records.
- ORG-Aircraft-PEL default= the ACTIVE records.

2.7.6.3 "Import" Button (on View Page)

If the user has permission that allow him to Import planned records from an Excel planning form to the CAA Action database, an "Import" button will appear on his CAA Action View Page.

- The average user will not see this button.
- Normally only the person assigned to conduct uploads will be able to see this Upload button.
- The actual capabilities associated with the Upload button are described in Chapter 6.

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2.7.6.4 "Sub-tables" Button (on View Page)

A. If the user has permissions that allow him to either ***View*** sub-table records in a database or ***Enter*** a new record, a Sub-tables button will be appear on his View Page in the upper right area.

B. Selecting the "*Sub-tables*" button will navigate the user to a View screen with two possible lists of buttons for the associated sub-tables.

- Note that while these sub-table buttons are displayed, the sub-table button changed to a "Hide" (this list) button.
- The available buttons will depend on the permissions assigned to the user by the DatAdmin.
- It is possible that the user may not have any links in the Enter Data list of links.

C. Selecting any visible button will navigate the user to the selected sub-table.

1) The View button will navigate the user to the sub-table for the purpose of viewing the list of records or a specific record.

Editing that record will only be authorized if an Edit link is located in the top right corner (indicating user has permission to edit).

2) The Enter button will navigate the user to the entry form for creating a new database entry in that sub-table.

2.7.7 SUMMARY

A. The user should take the time to understand the consistent features provided in this database.

B. Most of these features are found throughout the database.

Much of the information provided in this Section will be repeated where necessary in other sections.

2.8 OTHER MESSAGES

2.8.1 TIME-OUT MESSAGE

A. For security and database consistency, the CASORT database will log out a user who has not made an entry in the previous 1 hour. (Some CAAs have requested that this be reset to 3 hours.)

B. When the time-out occurs, the user will be returned to the log-in page with a large red banner.

Your session has timed out or become invalid. Please log in again.

2.8.2 JAVA POINTER-ERROR MESSAGE

A. The "HTTP Status 500" JAVA pointer error message may appears following some user action within the database

- Any time this error appears, the software was unable to point the user to the correct location in the program.
- The user should advise the DatAdmin when this pointer error message is experienced.y

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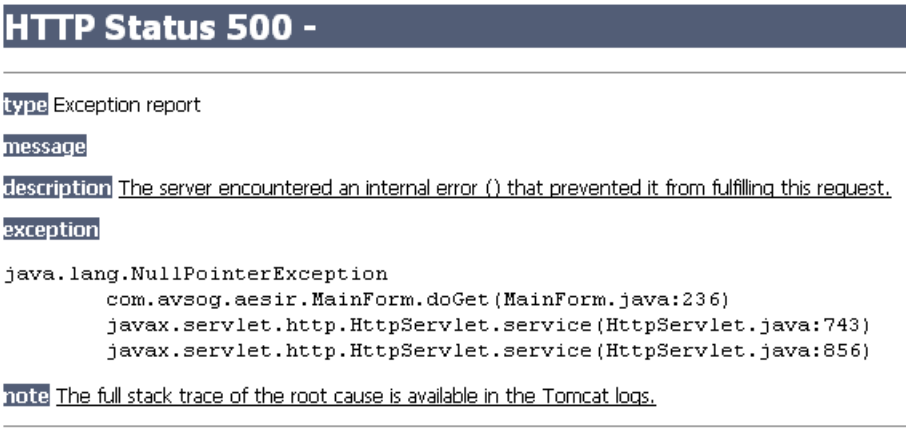
B. Some of these occurrences are transient in nature apparently related to connections to the Intranet or Internet.


HTTP Status 500 -
type Exception report
message
description The server encountered an internal error () that prevented it from fulfilling this request.
exception
java.lang.NullPointerException
com.avsog.aesir.MainForm.doGet(MainForm.java:236)
javax.servlet.http.HttpServlet.service(HttpServlet.java:743)
javax.servlet.http.HttpServlet.service(HttpServlet.java:856)
note The full stack trace of the root cause is available in the Tomcat logs.

C. Report this error to the DatAdmin any time this error message appears, the DatAdmin should consider formally entering a bug notification in the bug reporting software. The goal should be to eliminate this error from the database.

- It is possible to track down this error if the user or DatAdmin is able to replicate the error and provide specific steps that led up to the error, including the approximate times. The Database Creators must be able to replicate the error in order to correct it. The more information that is provided, the quicker the fix.

2.8.3 THE "CONTACT THE SYSTEMS ADMINISTRATOR" HEADER

A. If the user encounters a blank page with the message "Contact the Systems Administrator," a SAVE ERROR has occurred.

B. The first assumption that the user should make is that they have been logged out.

C. The user should complete the log-in sequence if they desire to return to the database.

If the user has a dedicated computer, the log-in user name and password may be saved to the computer to allow ease of re-entry

D. If this save error persists, the CASORT database should be restarted by the DatAdmin.

2.9 USER PERMISSIONS

A. This section is intended to be a short discussion on why the database may not let an individual user do certain viewing, editing, printing or creating functions.

B. Each function is specifically assigned to an individual user by the DatAdmin as specified by management on a ***Permissions*** page that is accessible only to the DatAdmin.

C. When a user is first entered in the CASORT admin panel, he has NO permissions..

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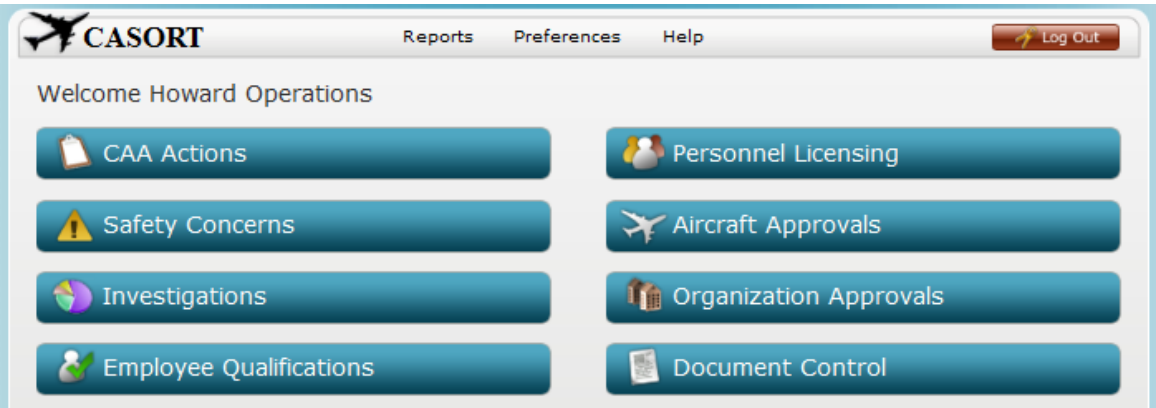
- The following is an example of a Home Page where the user has no permissions:).



- As the DatAdmin adds permissions for a user, the View and Enter buttons will appear as the permissions are granted to the user.
- At other locations in the databases, additional capabilities, such as Edit, Print, Lock will appear.

If a user does not have a specific capability, they should ask the DatAdmin whether these are assigned to them.

D. ***Data quality deterioratio***n is a constant problem that is controlled by proper training, monitoring and limitations on permissions.

- The most common method is to limit the numbers of persons having the capability for a function that is critical to data quality and consistency.

E. Not being assigned a particular permission is not a reflection on a person's innate capabilities.

- The simple truth is that one person can be consistent,
- Two excellent persons have inconsistencies between their methodology,
- Three excellent persons are diverging rapidly, and
- Four+ need constant supervision for data quality.

F. In situations where consistency is absolutely critical to the data quality and subsequent reports, it is best to limit those functions. This database does that through "permissions" controlled by the DatAdmin.

The Remainder Of This Page Intentionally Left Blank

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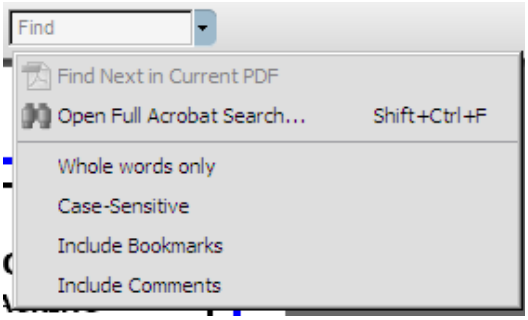
APPENDIX 2-A
Adobe Search of the Full CASORT Manual

A. The capability of this feature to search the manual for the applicable instructions very comprehensive.

B. From the Acrobat Reader menu (lower left), select the drop-down menu labeled "Find."

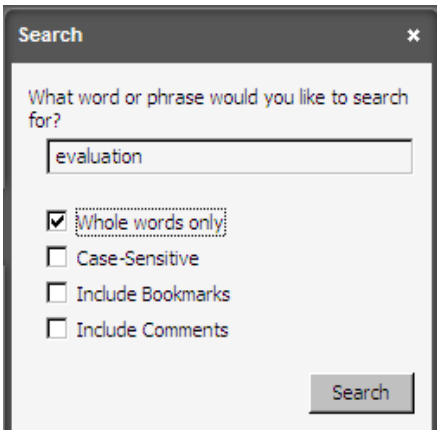
- This action provides a list of possible selections. In most case, the user will select "Open Full Acrobat Search."



C. Selecting "Open Full Acrobat Search" will display the Search menu on the left side of the page.

- In the example provided, the word evaluation was entered for the search.
- "Whole words only" limits the search.
- "Case-Sensitive" also limits the search.
- "include Bookmarks" should not be selected.
- 'Include Comments" should not be selected.

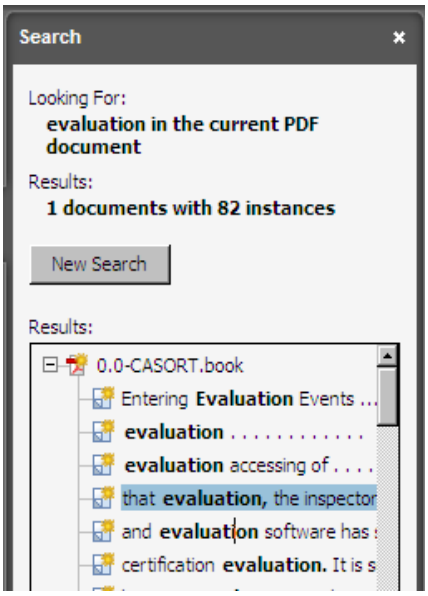
D. Selecting the "Search" button brings the search.



E. The selected search will then go through the document looking for the partial word, full word or phrase that was entered to start the search.

- In this search, the Acrobat Reader found 82 instances where the word "evaluation" was found.
- If no instances were found, the user has the capability to use the "New Search" button to initiate an new search.
- If instances that the word were found, each will be displayed.
- The first instances will usually be from the index or table of contents

G. Selecting one of the listed instances will cause the software to move to that specific location in the manual.



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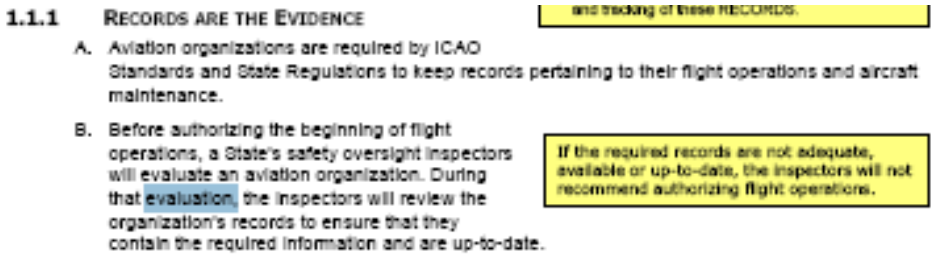
F. The word or phrase associated with the particular search line will be highlighted


and tracking of these RECORDS.
1.1.1 RECORDS ARE THE EVIDENCE
A. Aviation organizations are required by ICAO Standards and State Regulations to keep records pertaining to their flight operations and aircraft maintenance.
B. Before authorizing the beginning of flight operations, a State's safety oversight inspectors will evaluate an aviation organization. During that evaluation, the inspectors will review the organization's records to ensure that they contain the required information and are up-to-date.
If the required records are not adequate, available or up-to-date, the inspectors will not recommend authorizing flight operations.

G. The user may proceed through the instances of occurrence of the word or phase or choose a new search to further drill-down into the manual looking for more specific guidance or instructions.

End of Appendix 2-A

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APPENDIX 2-B
Web Browser Settings

H. The CASORT database is a "web-based" application. This set-up allows the user to make entries and navigate within the database as if they were actually on the Internet. The tool bars will be familiar because they will be set for the same browser software the user has at home for the Internet. The user should be able to use skills they already have to navigate in this database.

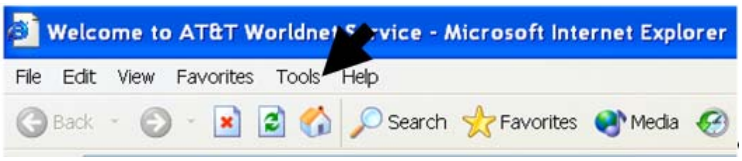
I. It is important that the user ensure that their web browser's Internet settings are set so that the browser does not restrict certain functions from the user. The following guidance will ensure those settings.

If the user has not yet demonstrated computer skills, the Database Administrator may need to enter or check these settings to ensure that they are entered correctly.

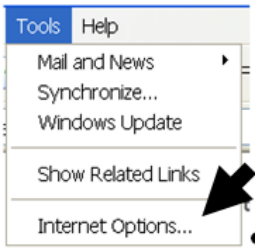
2.9.1 INTERNET SETTING OPTIONS (INTERNET EXPLORER)

If Internet Explorer is the browser that will be used, the following steps should be taken to ensure the proper settings.

1) On the Web-Browser tool bar – left-click "Tools,"


Welcome to AT&T Worldnet Service - Microsoft Internet Explorer
File Edit View Favorites Tools Help
Back Search Favorites Media

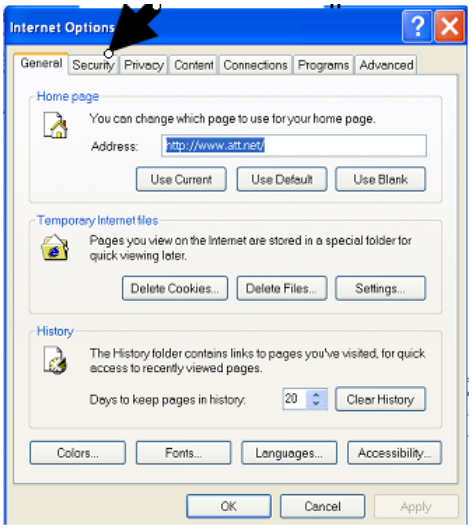
2) A drop-down menu will appear,



3) From the drop-down menu, left click "Internet Options,"

4) The "General" tab will be the default page,

5) Left-click the "Security" tab.


Internet Options
General Security Privacy Content Connections Programs Advanced
Home page
You can change which page to use for your home page.
Address: http://www.att.net/
Use Current Use Default Use Blank
Temporary Internet files
Pages you view on the Internet are stored in a special folder for quick viewing later.
Delete Cookies... Delete Files... Settings...
History
The History folder contains links to pages you've visited, for quick access to recently viewed pages.
Days to keep pages in history: 20 Clear History
Colors... Fonts... Languages... Accessibility...
OK Cancel Apply

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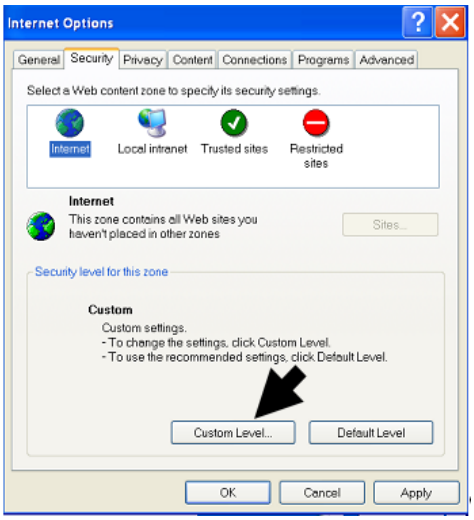
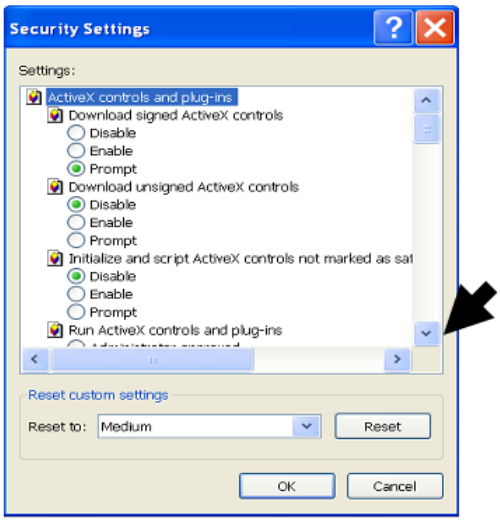
6) The Security page will appear,



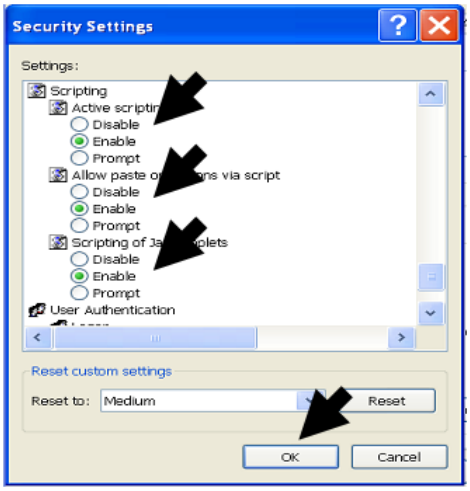
7) Near the bottom of the page, left-click "Custom Level" button;

8) The "Security Settings" page will appear;



9) Scroll down the page until the "Scripting" settings appear,

10) Ensure that all three of he Scripting options are selected "Enable;"



11) Left-click on "OK" button to accept these settings

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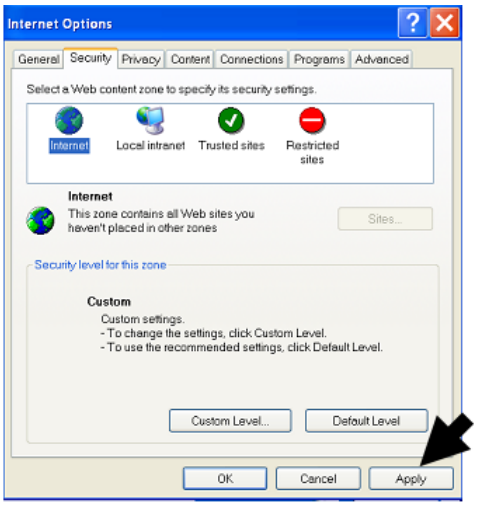
These settings allow your browser software to use the JAVA applets that interface between the web-server and the database.

If these settings are not correct, the Web Browser will not let the user perform functions within the CASORT database.

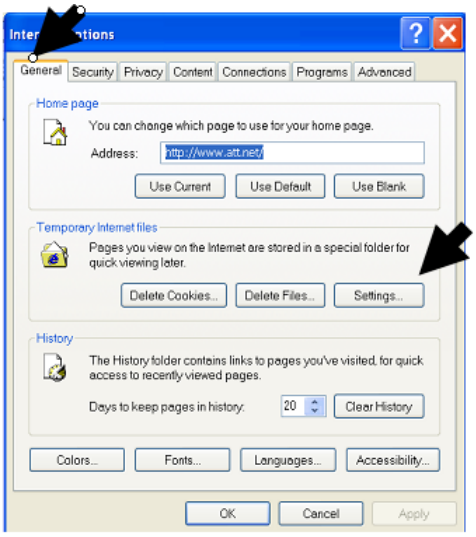
12) The main Internet Options page will re-appear with the Security page displayed



13) Left-click on the “Apply” button.

14) Now go back to top and left-click on the “General” tab;

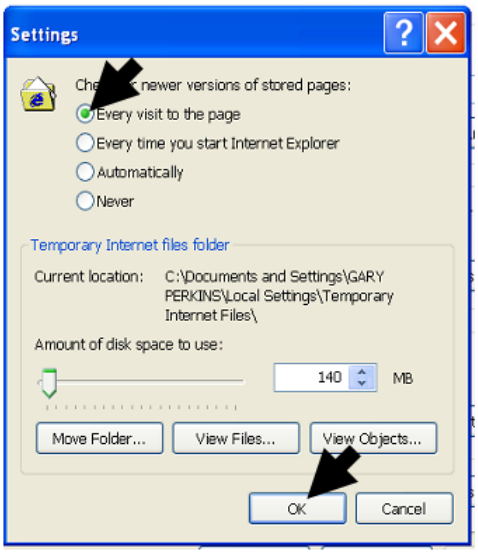
15) The “General” page will reappear;



16) On the General page, see the “Temporary Internet Files” section;

17) Left-click on “Settings,”

18) The "Settings" page will appear;

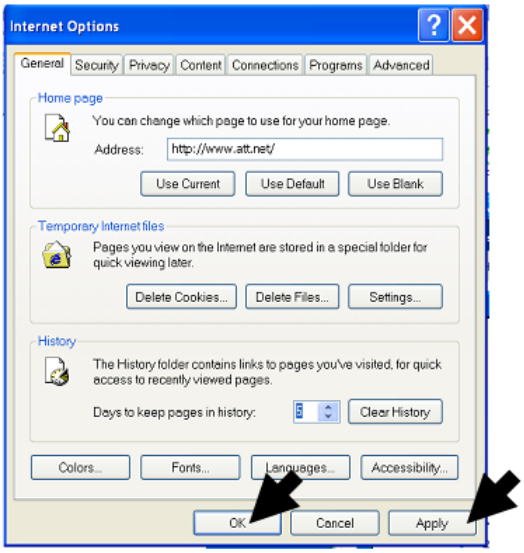


19) Ensure that the "Every visit to the page" button is selected (left-click on button, if necessary);

20) Select "OK" to return to the main page;

This setting will ensure that the web-browser is updating the pages on each click

If this setting is not correct, the web-browser could be using old pages from the cache. This is very confusing to the user.



21) At the bottom of the "Internet Options" page, left-click the "Apply" button;

22) Then left-click the "OK" button;

23) This action will return you to the browser page that you were on at the time you began this process.

24) Proceed with normal use of the system.

End of Chapter

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Chapter 3
CAA Action Database: General

A. This chapter provides the general guidance and policies for entry of CAA Action records and the field characteristics.

B. The information provided in this chapter is intended for overview purposes. Each area is covered in much more significant detail in later chapters in this instructions manual.

3.1 CAA ACTION DATA ENTRY PAGE ORIENTATION

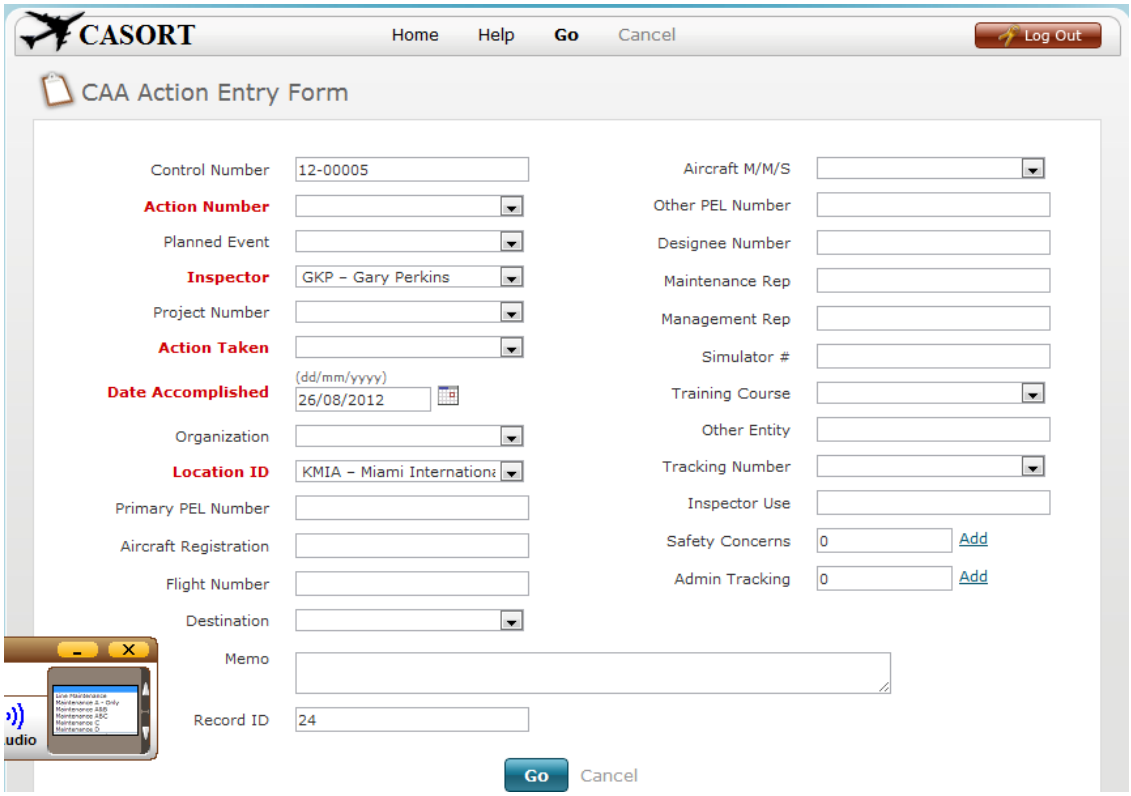
A. The purpose of this Section is to orient the user to the fields and menus of the CAA Action Entry form.

B. This discussion is not intended to be practical application of the database and actual completion of the fields. Those instructions will be given later in this chapter and Chapter 4.

- Note that there are only five (5) required entries (identified by the red labels) necessary to complete a record.
- The user may provide more specific information for the record in the other fields at their option.

3.1.1 ACTION ENTRY FORM

Selecting the Home Page CAA Actions ***Enter*** button will take the user to the CAA Action Entry Form shown below.



3.1.2 OPENING DEFAULT ENTRIES & RECORD SAVE

A. Note that the database has already made default entries in certain fields. The database software automatically makes default entries in the following fields (denoted by red labels)—

1) The initials and name of the logged-in user.
2) The current date
3) The user's normal work location.

> If any of these default values are not applicable, they will have to be changed.

B. In the next step of the Action Entry, the user inserts an Action Number (red label) that correctly describes the work function performed. The database software then makes a default entry to—

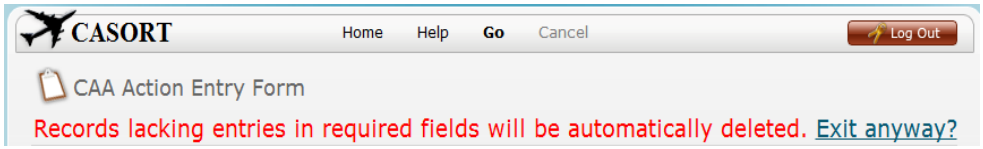
- Describe the result of that activity (or technical decision of the user).

> If this default is not applicable, it must be changed.

C. As the user makes an entry in a field, it is automatically saved to the database.

1) If the user has completed all "required fields" (denoted with red labels), the record is automatically saved to the database. *If the user does not want the record saved, he must select the **Cancel** link on the top bar (or at the bottom of the form).*

2) If the user attempts to leave the Action record before the "required" fields are completed, he will be given the following warning message.



3) If the user selects ***Exit Anyway***, the record will be deleted.

3.1.3 ACTION FIELDS BY TAB ORDER

The following general discussion of the Action Entry form fields is provided in "tab order:

> - "Tab Order" is the order they would occur by repeatedly pressing the TAB key.
> - At any time, the user may move the cursor to any field with the mouse.

1) The **Control Number** field is assigned by the database software when the Action Entry form is opened.

- ♦ 12 = Year (2012); 00005 = Action record #5 for 2012.
- ♦ The Control Number is unique to the record being entered, in that, no other Action record will have this number.
- ♦ It is used as an all-purpose filing number for approval and other official records in the CASORT Suite of databases.

> Because the Control Number assigned by the database provides a ready filing, this subject will be covered in detail later in this chapter (paragraph 3.12) and Chapter 4.

- ♦ The Control Number allows the linking of related documents to the specific Action record that caused the generation of those documents.

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2) The **Action Number** field provides a two-tier drop-down menu of possible numbers for the inspector's specific specialty.

- The inspector will select the applicable Action Number and Task Description drop-down list of numbers.

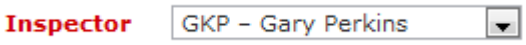
> Because the Action Number selection is the foundation of all subsequent entries, this subject will be covered in detail later in this chapter and Chapters 4 and 5.

3) The **Planned Event** field is used by management to reserve a record for future evaluations and/or inspections.

- It is normally grayed-out to the inspector user.
- If management has made an entry in the PE field of an inspector's record, it will be visible to the inspector user.

> The Planned Event field is the basis for the notification reminders that will appear on the user's home page as their target dates approach (Refer to Paragraph 5.2).

4) The **Inspector** field provides a drop-down menu listing the persons authorized to make Action entries.



- When the user opens an Action Entry form the software enters the initials and name of the logged-in user.
- Normally, the user is not authorized to change the record to another user's initials/name.
- If a user (such as the supervisor or Data Quality Coordinator) has the appropriate permissions, it is possible to make a record entry for another person, by selecting the down arrow will open a drop-down menu of possible inspector identifiers.

5) The **Project Number** field provides a drop-down menu of the current projects being worked by more than one person in the Inspectorate.

- The Project Number provides for a standardized selection of a "connecting number."
- It enables quick reports regarding the completion of critical projects.

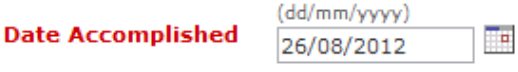
> A more detailed discussion of "connecting" number is contained in paragraph 3.13.

- A more detailed discussion of the accessing of the Project Number drop-down menu is provided later in this chapter.

6) The **Action Taken** field provides a method to indicate in summary the result of a user's participation in a specific action and the technical decision or result.

- When the user selects the Action Number (for the task) the software makes a default entry in this field based on the most common initial entry for that task.
- A more detailed discussion of the possible Action Taken selections on the drop-down menu is provided later in this chapter and in Chapter 4.

7) The **Date Accomplished** field provides the capability to record the actual date the activity or evaluation was accomplished.



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- When the user opens an Action Entry form the software makes a default entry of the current date.

> A more detailed discussion of organization entries is provided in paragraph 3.3.4.

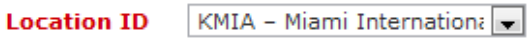
8) The **Organization** field provides a drop-down menu of the current organizations that have been issued organizational certificates by the Inspectorate.

- This field is mandatory for all activities involving organizations holding approvals from the Authority.

> A more detailed discussion of organization entries is provided in paragraph 3.11.

- A more detailed discussion of the accessing and selection of organizations is provided later in this chapter.

9) The **Location ID** field provides a drop-down menu of possible airports.



- The software makes a default entry in this field of the location normally associated with the user's normal work location.
- If the user was accomplishing this work at a location way from the normal work location, the location must be changed.

> A more detailed discussion of location entries is provided in paragraph 3.9.

10) The **Primary PEL** Number field is a text field that allows the user to record the PEL licence number of the primary PEL license holder associated with the inspector action being taken.

- This field is mandatory for all PEL licensing activities.
- The license number must appear first in this field.

> A more detailed discussion of organization entries is provided in paragraph 4.5.

11) The **Aircraft Registration** field is a text field of 10 characters to enter the registration of specific aircraft that was associated with an activity or evaluation.

- This field is mandatory when directly associated with any evaluation, inspection or investigation involving a specific aircraft.

12) The **Flight Number** field is a text field to enter the actual flight number (if known) of an aircraft that has been inspected.

13) The **Destination** field provides the same drop-down menu of airports provided in the Location ID field.

- This field is normally selected only when the destination of a flight is known.

14) The **Aircraft M/M/S** field provides a drop-down menu for the user to select an aircraft make/model/series from a pre-entered list.

- This is a mandatory field when directly involved with the inspection of a specific aircraft.

> A more detailed discussion of Aircraft MMS entries is provided in paragraph 3.10.

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- This field is normally used when recording an action involving a specific make/mode/series of aircraft = type-specific.

15) The **Other PEL Number** field is a text field that allows the user to record the PEL license number of any other crew member associated with the event that generated this activity.

16) The **Designee Number** field is a text field that allows the user to record the authorization number of the authorization number of any Designee associated with the event that generated this activity.

- This field is mandatory when a Designee is associated with the Inspector Action, including PEL events.

17) The **Maintenance Rep** (representative) field is a text field that allows the user to record the name or an identifying number of the maintenance person associated with the activity.

- This field is mandatory when a maintenance person is associated with the Inspector Action, especially when the inspector had direct interaction with the individual.

18) The **Management Rep** field is a text field that allows the user to record the name of a management representative of an organization or operator associated with the activity.

- This field is mandatory when a management person is associated with the Inspector Action, especially when the inspector had direct interaction with the individual.

19) The **Simulator Number** field is a text field that allows the user to record the identifying number of a simulator that is included in the CAA surveillance plan.

- This field is mandatory when a simulator or training device is associated with the Inspector Action, especially when it is used for training and proficiency events.

20) The **Training Course** field is a drop-down menu field that allows the user to chose from a list of training courses used by the CAA to establish a employee training plan and track completion of that plan.

- This field is mandatory when the inspector is recording the receipt of training.
- This field is also mandatory when the instructor is recording the delivery of training.

A more detailed discussion of organization entries is provided in paragraph 4.7.

21) The **Other Entity** field is a text field. A user may enter the name of any organization or individual operator that is not included in the drop-down menu of the Organization field.

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- This field is used when the inspector is not certain that the individual or organization is listed in the CASORT database.

22) The **Tracking Number** field provides a drop-down menu of the current list of CAA-internal projects that are being tracked by management.

- This field is used for lessor "projects" that the CAA management desire to have tracked to connect all related records.

> A more detailed discussion of "connecting" number is contained in paragraph 3.13.

23) The **Inspector Use** field is a text field intended for the individual user to enable the connection of related records.

- A user may enter any connecting acronym or number chosen by the inspector to connect records for reporting purposes.
- The recommended method is to use a Control Number previously generated by the database.

> A more detailed discussion of "connecting" number is contained in paragraph 3.13.

24) The **Safety Concerns "Counter"** displays the number of identified safety issues that are associated with this activity.

- The **ADD** button will take the user to another database table to enter a specific safety concern for tracking to resolution.

> A more detailed discussion of the entry of Safety Concerns is provided in Chapter 7.

25) The **Admin Tracking "Counter"** displays the number of identified admin issues that were identified during this activity.

- The **ADD** button will take the user to another database table to enter a specific administration issue for tracking to completion.

> A more detailed discussion of entry of Admin Issues is provided in Chapter 17.

26) The **Memo** field is a text field that allows the user to record any notes regarding the activity or evaluation.

- The user must exercise care when inserting a memo.
- It must not contain a safety concern or admin issue unless there is a separate concern or issue "attached" to the applicable Action record.

> A more detailed discussion of the policies regarding Memo entry content and pitfalls of these entries is provided in paragraph 3.14.

27) Selection of the **GO** button will leave the Action record and display the navigation links to other the Action records.

- The adjacent **Cancel** link will cancel a new record without saving it.

28) The Record Id Number defaults to the bottom of the Action Entry form when a new record is opened for entry. is sorted.

- This record is primarily used to identify the Planned Event records that have no Control Number.

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3.1.4 AUTO-FILLED FOOTERS

3.1.4.1 Document Links

Related Active Documents: 1
Last modified by GKP on 26/08/2012.

A. The footer labeled "Related Active Documents" indicates the number of documents that are posted to the Document Control database that related to this Action Record.

B. This example indicates that there is 1 document. That document may be reviewed by selecting the underlined link (1). If there was more than 1 document, the link would take the user to a view listing of all of the documents by subject.

3.1.4.2 Last Modified By:

This footer information above simply shows the date the record was last modified and the initials of the person who made the modifications.

- Additional historical record modification information may be obtained from the Database Administrator.

3.2 EXAMPLE OF A SIMPLE CAA ACTION RECORD ENTRY

The purpose of this section is to demonstrate how easy it is to enter a CAA Action record.

3.2.1 THE ADMINISTRATIVE ENTRY SCENARIO

A. For this example, an inspector is in his office.

B. During the morning— i

- He is called by three different persons on the phone regarding regulations and airline certification.
- He also has a face-to-face meeting with a fourth person regarding a flight check.
- He now consults his notes and logs into the database.

- The "Administrative" activity is the most common record that will be entered in the database.
- It is estimated that - 85% of all inspector work - is associated with this grouping of tasks.
- Should you report it?

C. Taking advantage of a break in his work—

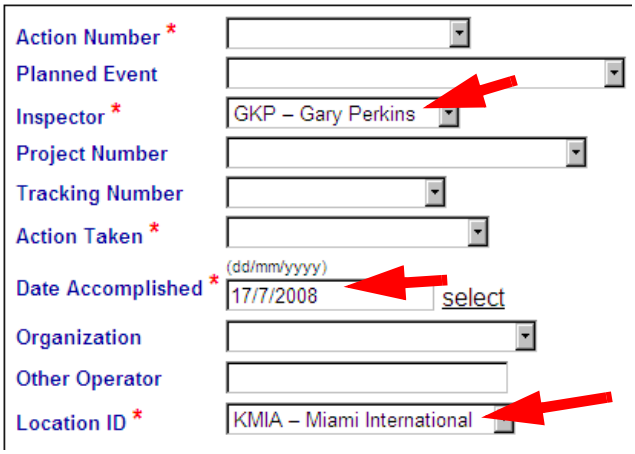
1) He left-clicks on the CAA Action ***Enter*** button.

2) The CAA Action Entry record appears.

3.2.1.1 CAA Action Default Entries

He notices that the database has already made default entries in three (3) of the five (5) field required to complete a record for saving into the database.

- His inspector identifier and name already appear in the Inspector field.
- Today's date is already entered in the Date Accomplished field.
- His office location is already entered in the Location ID field.

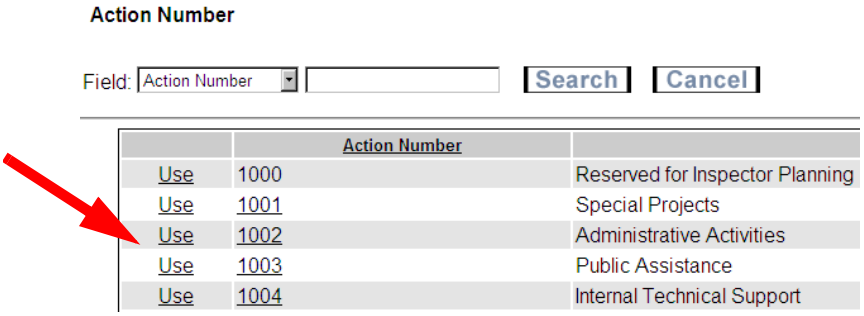


3.2.1.2 Action Number Category Selection [1st-Level]

1) He left-clicks on the down-arrow in the Action Number field to display the menu.
2) This action provides him a list of general subject areas from which to select the action number that best "describes" the telephone calls and meetings of the morning.
3) He knows that these general subject areas are listed in the priority order starting with the grouping of tasks that *constitute more than 85% of his day-to-day work*. That will be "Administration."
4) He places the cursor on **Administration** and left-clicks.

3.2.1.3 Action Primary Numbers [2nd-Level]

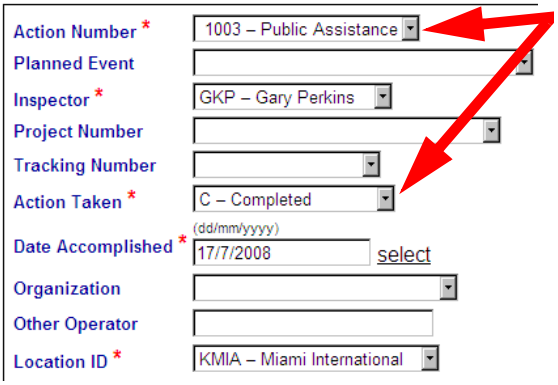
1) This action brings up a Primary grouping of Administration Action Numbers
2) The general discussions that the inspector had with the four persons today were "Public Assistance – discussion about specific requirements of the civil aviation requirements.



3) He left-clicks on the word **Use** next to the Action number = 1003, Public Assistance.

"Public Assistance" describes any general discussion the CAA inspectors have with persons other than government personnel.

4) The Action number field fills in with the number and the description of the activity.
5) Notice also that the ACTION TAKEN field now has a default entry showing that the activity was completed.



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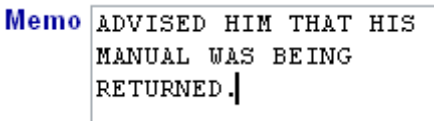
The record now meets the minimum requirements for saving. But our inspector wants to include information that will remind him of the person and subject he discussed.

3.2.1.4 Other Entries at Inspector's Option

1) The inspector enters the last name (followed by the first name or initial of the person with whom he had the discussion in the MANANAGEMENT REP field.

Consistently entering the last name as the primary name in any field will make it easy to query such fields for all of the records that are associated with that person.

2) The inspector then enters a note in the MEMO field to remind himself of the subject discussed.



This is a good practice, but not a requirement.

3.2.1.5 Leaving the CAA Action Entry Form

It is now time to leave this record or open a new Action Entry to enter a new record.. This is best accomplished by selecting the **GO** button at the bottom of the form.

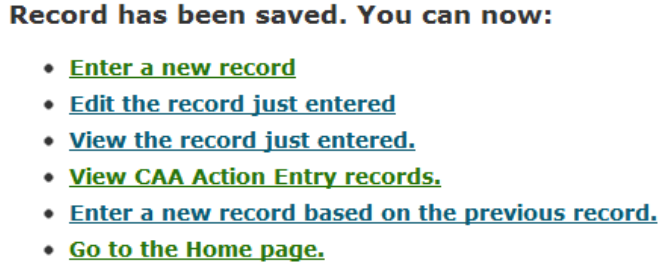
- Selecting the GO link at the top of the form will provide the same effect as the button at the bottom on the form.

3.2.1.6 Replicating the Saved Record

1) Now comes the fun decision. The inspector can make his next entries easier by following these simple directions.

2) He has three more very similar records to enter so he elects to **Enter a new record based on a previous record.**

3) This action provides our inspector with an exact duplicate of the previous record.


Record has been saved. You can now:
Enter a new record
Edit the record just entered
View the record just entered.
View CAA Action Entry records.
Enter a new record based on the previous record.
Go to the Home page.

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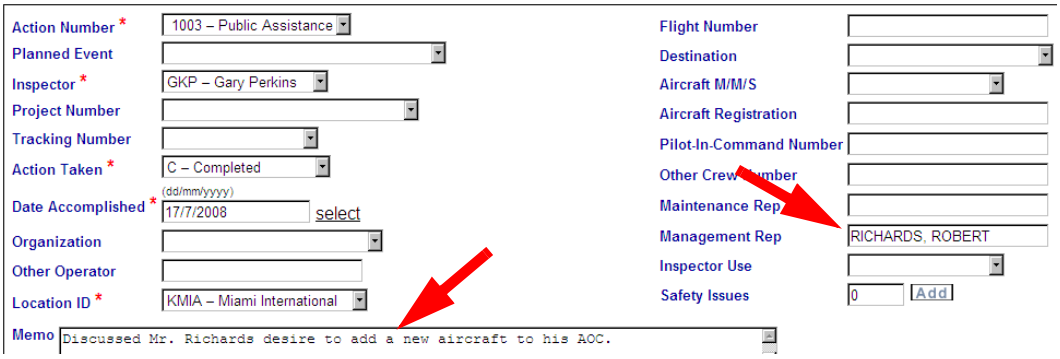
4) Now all the inspector has to do is change the last name of the person he spoke to and the note containing the subject of the discussion.

- If at this point, the inspector forgets to revise – he now has two exact records.
- But two exact records are one better than no record!

5) After the last name and the note are changed.

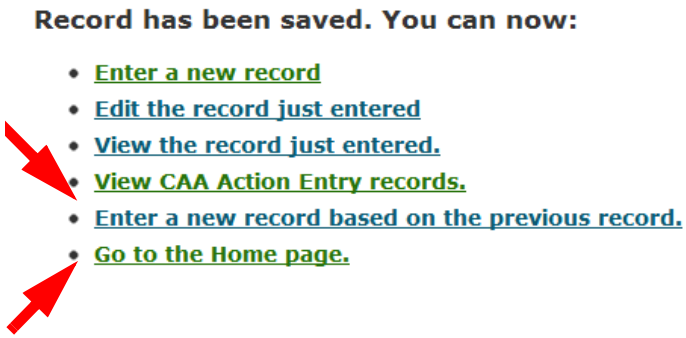


6) It is now time to leave this record and open a new Action Entry to enter a new record, select ***GO***.

7) He again has a choice. With two more similar records left to enter, he again selects **Enter a new record based on the previous record**.

8) He follows the previous previous sequence of steps twice more, entering an "different" information.

9) After the fourth record is completed, the inspector selects **Go to the home page** to exit the database.


Record has been saved. You can now:
Enter a new record
Edit the record just entered
View the record just entered.
View CAA Action Entry records.
Enter a new record based on the previous record.
Go to the Home page.

- More detailed instructions will be provided later for the editing and saving of records.
- Remember that 85% of the inspectors' database entries will be just as simple as this example.

3.2.2 EXPLANATION OF "ADMINISTRATION" ACTION NUMBERS

Paragraph 3.16 of the chapter contains an explanation of all of the Action numbers that appear under the 1st-Level category "Administration." Inspectors should be familiar with these choices since probably 85% of their days are consumed by these types of tasks.

3.3 CAA ACTION ENTRY FIELD CHARACTERISTICS

A. The purpose of this section is to discuss the use and functionality of each field in the CAA Action and Safety Issue entry forms from the End-User's perspective.

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B. User understanding of the capabilities and limitations of each field will enable them to ensure that the data entered is appropriate to future queries and reports for the Inspectorate functions.

> The programmed characteristics of the CAA Action and Safety Issue Entry Form are also applied consistently in the other portions of the database.

3.3.1 NO-EDIT DROP-DOWN MENUS

A. There are some fields with drop-down menus that are only editable by the creators of the database. The user must select from the choices provided in the drop-down menus provided for these fields. This is specifically designed for consistency of input by the users.

B. In the CAA Action Entry form the no-edit menus are included in the—

1) **Action number,**
2) **Planned Event** [PE], and
3) **Action Taken** fields.

C. In the Safety Issue Entry Form the no-edit menus are included in the—

1) **Status**,
2) **Initial Risk Assessment**
3) **Level**,
4) **Type,** and
5) **Final Resolution Method** fields, including
6) **Residual Risk**.

D. All of these menus are simple choices, except the Action Number field.

E. The Action Number field uses a 2-Level selection process. It contains extensive choices that are provided through two levels of selection—

1) first, by group,
2) then within a particular grouping.

F. The specific methodology for using these fields is provided in further sections in these Help contents.

3.3.2 ADMIN-EDIT DROP-DOWN MENUS

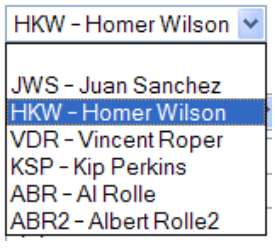
A. There is one field drop-down menu that can only be edited by the Database Administrator.

B. That one is the **Inspector** field. This field is edited by the Database Administrator through a separate log-in process.

C. The user may only make selection from the menu in this field.

D. This field will auto-fill by default the name of the inspector that is logged-in to make data entries.

- The logged-in inspector may overwrite the inspector name by selecting another name from the menu.
- For forensic purposes, the keystroke log will show that the logged-in inspector made this particular entry.)



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3.3.3 DATA QUALITY COORDINATOR-EDIT DROP-DOWN MENUS

A. There are six drop-down menus in the CAA Action Entry Form that should be maintained by a Data Quality Coordinator.

1) Organization
2) Location
3) Destination
4) Aircraft MMS
5) Project Number
6) Tracking Number

- To ensure standardization, the choices contained in these drop-down menus are editable only by the Data Quality Coordinator.
- See Chapter 6 for instructions for Data Quality Coordinator editing of these menus.

B. The first four of these menus (A1, A2, A3, and A4) are provided to give standardized choices in the particular field.

C. The Project and Tracking Number fields provide the method for user to connect related records.

- Other users may record their participation in the same project.

The Project and Tracking Number are intended to consolidate related records for queries and reports.

3.3.3.1 Last 10 Choices

All of these drop-down menus provide, at the top of the associated menu, the last choices made by the logged-in inspector in the field.

- *This is considered a 1st-Level choice*.
- [The capacity the last 10 choices made by the logged-in inspector in the associated field.]

- These choices are user-specific.
- The database remembers the logged-in inspector's last 10 choices and provides them for selection.
- This is especially useful for repetitive entries over a large period of time.

3.3.3.2 Browse for More

On this same screen, the user is also able to BROWSE the available menu.

- The selection of BROWSE will take the user to all presently ACTIVE* ('Primary") choices in the associated field. These three radial buttons are located on the upper right side of the page.

- This "Active/Inactive" feature allows initial presentation of the most used choices. The user may, by simply selecting one of these radial buttons, also view and select from the "inactive" or "all" files as necessary.

3.3.3.3 No Choice

A. The possible selection "No Choice" also appears on the initial drop-down menu for those fields that *do not have the red label*. This is only provided to prevent data corruption in the event that the user would like to cancel a previous entry and leave the field "blank."

- It is provided in the event that the user would like to cancel a previous choice in this field - without making another entry.

Use this choice only as a last resort to keep the file from being corrupted.

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- If the "No Choice" selection choice is present in the drop-down menu, this indicates that once an initial selection is made in this field and it was saved by the database, this field must always have a selection.
- There are no provisions in the database for deleting selected entries, only replacement.

B. Data Quality Coordinators may edit or create selections provided by the database in these sub-tables.

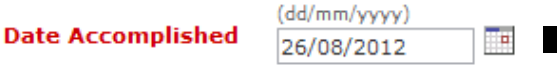
- The specific methods for creating additions to these menus are described in Chapter 6 of this manual.

- Data Quality Coordinators may deactivate the status of a particular choice if that choice is not in widespread use in the CAA's jurisdiction.
- This will keep the 'primary" list from becoming too large.
- The method for deactivation is provided in a later Help section.

3.3.4 DATE FIELDS

3.3.4.1 CAA Action Date Fields

A. There are four date fields in the CAA Action and Safety Issue Entry forms-



1) **Date Accomplished**,
2) **Receipt Date**,
3) **Target Date,** and
4) **Final Resolution Date**.

B. The first three of these fields are auto-filled by default. The defaults are—

1) **Date Accomplished** = the date the entry was keyed into the CAA Action Entry Form;
2) **Receipt Date** = the date the safety issue entry form was opened to enter the safety issue, and
3) **Target Date** = 45 days in the future (from the date the safety issue was entered).

All of these dates may be changed by the logged-in inspector.

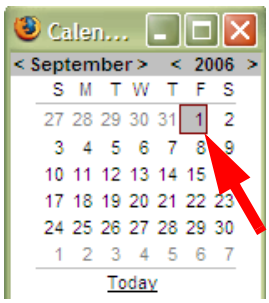
C. There is one Date field that is not auto-filled. It is on the Safety Issue Entry Form labeled "Final Resolution Date."

Date fields are used extensively in other CASORT databases, such as PEL.

3.3.4.2 Date Calendar

A. All Date fields in the CASORT database have a date calendar that is accessed by clicking on the word "Select" located to the right of the field.

- The date calendar was added to the database to ensure that the correct date is inserted in the Date field.
- This calendar was added because Date field entry errors have been the number 1 cause of corrupted records. The use of this calendar dramatically reduces those errors.



B. That action will bring up the date calendar.

- Note that the example has a current date of 1 September 2006.
- Clicking on any number in the month will cause that date to be correctly inserted into the Date field.

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- The month can be changed by clicking on the small arrows on either side of the currently displayed month.
- The year can be changed by clicking on the small arrows on either side of the currently displayed year.

< September > < 2006 >

3.3.4.3 Date Format

A. The date format is pre-set for (dd/mm/yyyy).) by AVSOG

B. Always use the date calendar to enter or revise any date in the CASORT database..

- Failure to use the proper date format will result in an error message.
- The date format must be correct before the database will allow the entry to be saved.
- The error message "00/00/0000" indicates that the date was entered in the wrong format, edit the record and reenter the date in the correct format.

C. The Data Quality Coordinator will have to type the correct date in the EXCEL tables used for "gang loading" records for certain applications (See Chapter 6).

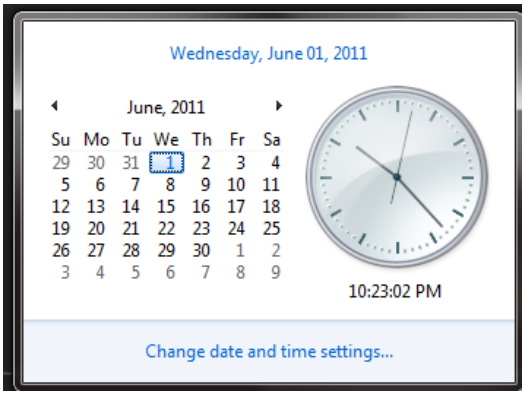
- It is very important that these dates are entered correctly.

3.3.4.4 Your Computer Date & Time

A. The date and time that the user (you) see in the database is related to the USER'S computer settings. This is NOT the CASORT database settings.

B. If the user travels to a location on the other side of the world, the date and time shown in the database will remain the same as if he was still at his home location.

C. If the user desires that his computer reflect the current location and time zone, it will be necessary to change his computer date and time.



3.3.5 TEXT NAME COLLECTION FIELDS

A. There are three text fields in the CAA Action and Safety Issue entry forms intended for the collection of names—

Management Rep Johnson, John

1) **Maintenance Rep** (CAA Action Entry Form]
2) **Management Rep** [CAA Action Entry Form]
3) **Provided To** [Safety Issue Entry Form]

B. For later data query, the last name should be entered in the field, followed by a comma. The first name (initial or full) should be entered after the comma.

Conforming to a specific protocol for entering names will ensure that those names will be easily retrieved by a database search.

C. Each of these fields provide at least 45 character spaces for entry.

D. There are no default provisions to ensure that names are entered correctly.

3.3.6 TEXT (NUMBERS/LETTERS) COLLECTION FIELDS

A. There are four fields on the CAA Action Entry form and five fields on the Safety Issue Entry form that are provided for the collection of specific numbers/letters information.

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B. On the CAA Action Entry form, those fields are—

1) **Flight Number**. There are 10 character spaces intended to collect the number of the flight (if such a number is assigned).

2) **Registration Number**. There are 6 character spaces intended to collect the registration number of any specific aircraft that was inspected.

> The entry of the registration letter/number combination should be made WITHOUT a hyphen to provide a consistent method for later query.

3) **Primary PEL Number**. There are 45 character spaces intended to collect the license number of the pilot-in-command.

- All numbers (and letters, if applicable) on the PEL license should be collected in this space.

> It will be acceptable to collect the last name of the license holder in the remaining spaces – AFTER – the number is entered.

4) **Other PEL Member Number**. There are 45 character spaces intended to collect the license number of any other crew member that the user believes important to this record.

- This number could be a second-in-command or cabin crew member.

> It is acceptable to collect the last name, comma, first name if the licence number was not available.

5) **Designee Number.** There are 45 character spaces intended to collect the authorization number of the designee associated with the event.

6) **Simulator Number**. There are 45 character spaces intended to collect the number of the simulator. All numbers on the simulator number should be collected in this space.

> It will be acceptable to collect the acronym for the simulator operator in the remaining spaces – AFTER – the number is entered.

C. On the Safety Issue Entry Form, the fields provided for the collection of specific letter/number information are—

1) **Reference**. This field has 22 character spaces. It is intended to cite the specific reference (other than regulation) that supports the issue finding.

2) **Regulation**. This field has 22 character spaces. It is intended to collect the regulation number and sub-paragraph(s) that supports the issue finding, e.g. 135.231(a)1.

> Completion of this field would be required if a formal enforcement investigation is under-taken.

3) **Job Aid**. This field is auto-filled with the word "None." It has 22 character spaces. It is intended to cite the specific job aid used by the inspector to identify the issue. This would be in lieu of a cite in "Reference" or "Regulation." Such citations are especially helpful during inspector OJT training.

> Consistent use of such a methodology would allow for queries to track patterns or emerging trends.

4) **Question Number**. This field is auto-filled with the word "None." It has 22 character spaces. It is intended to cite the specific question (or reference number) from the identified job aid.

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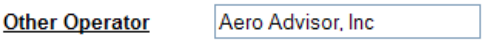
5) **EIR (Enforcement Investigation Report) Number**. This field has 15 character spaces. When a formal enforcement investigation report is opened – it will be given a number for later tracking.

   ♦ Further discussion on how this number will be derived is provided later in this chapter.

> The inclusion of consistent numbering would allow queries regarding those records that actually resulted in opened enforcement investigations.

3.3.7 TEXT "OTHER ENTITY" OPTION

A. This field is provided on the CAA Action Entry Form. There is no similar field on the Safety Issue Entry Form.



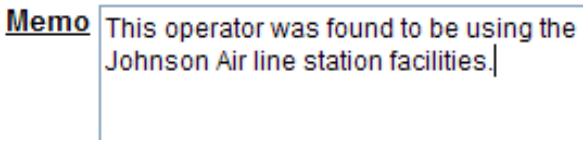
B. Inspectors are continuously finding situations where they would like to make an operator entry other than those listed in the "Organization" field, such as an inspection of an operator from another country. This field is designed to accommodate the recording of these encounters.

C. The inspectors may enter any individual or organization (other than those listed in the "Organization" field) name in this field. There are 45 character spaces provided for this entry.

3.3.8 "PARAGRAPH-ENTRY" FIELDS

A. There are three fields that provide for extensive narrative entries. These are the—

1) **Memo** (CAA Action Entry];
2) **Actual Finding** [Safety Issue Entry];
3) **Risk Statement**, and
4) **Resolution/Mitigation Summary** [Safety Issue Entry] fields.



B. These fields provide seemingly unlimited character spaces for making narrative entries.

C. Because this "unlimited" space can result in too much uncontrolled information being inserted in the database, a more detailed discussion is provided later in this chapter regarding the type of information which should appear in these fields.

3.3.9 TABLE TRANSITION METHODS

A. There are three methods of transition from the primary table to related sub-tables within the database.

B. The transition by specific field (user edit) was previously discussed.

C. The two other methods are actually variations on the same method.

1) The primary method is the one included on the CAA Action Entry form. This method allows the user to transition to another form – but also provides a count of the numbers of records that are attached to the primary record.

2) A variation on this method is used in other places in the database to provide for the transition to a single record. In this case, there is no "number of records" display.

> These transition methods are discussed again later in this manual.s.

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3.3.10 AUTO-FILLED NUMBER FIELDS

A. There are some reserved fields which are assigned (auto-filled) numbers by the database. The four most visible *(invisible on the original entry form)* examples are the-

- These four fields do not appear on the blank data entry form.
- They are assigned by the database the first time a new record is opened.

1) **CAA Action Control Number** field;

2) **CAA Action Record ID** field,

3) **Safety Issue Number** field; and

4) Safety Issue ID.

B. The ***Control Number*** field is auto-filled with a unique number which then allows the user to find that particular record *by year* in the database. This number is called the "Control Number."

- Upon selection of an Action Entry form to enter a new record, the database assigns, the database will assign the unique Control Number.
- This number is derived by the database by inserting the last two number of the year as it assigns a chronological number to the file. For example: 12-00005 is the fifth number assigned in 2012.

The database will not assign a Control Number to a Planned record.

- The Control Number of the record you entered will now appear prominently on all reports and view screens associated with the CAA Action database, unless the Action Taken field has been selected "P=Planned."

The Control Number is an integral part of the archiving feature of the database.

- The Control Number is an essential feature of the internal tracking of CAA events and approvals in a given year.

The user will not be able to edit the Action Control Number.

- This Control Number allows the user to return to the particular record to view, edit or print it.

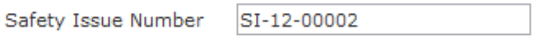
C. The RECORD ID field is auto-filled with a unique number which is simply counting the total number of files in the database. This number is called the "Record ID Number."

- Upon selection of an Action Entry form to enter a new record, the database assigns a unique Record ID to that file which will appear at the bottom of the record on the left side.
- The Record Id number is primarily intended for the database file sequencing, but the user should be aware of some possible applications, such as planned events.
- The auto-filled Record ID number of the record will now appear on all reports and view screens associated with the CAA Action database.

The user will not be able to edit the Record ID number.

- The Record ID number is essential for the behind-the-scenes structure of the CAA Action database.

D. The SAFETY ISSUE NUMBER field is auto-filled with a unique number which then allows the user to find that particular record in the database.



- The Safety Issue number field will be visible at the top of the left column when the user select the Safety Concern Entry Form to enter a NEW record.

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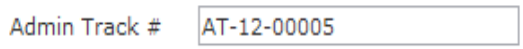
- This is a number unique to that safety concern that enables the user to track the resolution of that issue with all related correspondence.

The Safety Issue Number is an integral part of the archiving feature of the database.

- This number is derived by the database by inserting the letters "SI" with a dash, followed by the last two number of the year and then the chronological number assignment. For example: SI-12-00001 is the first Safety Issue number issued in 2012
- This Safety Issue number may be used to return to the particular issue to view, edit or print it.
- This number will appear on all reports and view screens associated with the Safety Concern database.

The user will not be able to edit the Safety Issue number.

E. The **Admin Tracking Number** field is auto-filled with a unique number which then allows the user to find that particular record in the database.



- The Admin Training number field will be visible at the top of the left column when the user select the Admin Tracking ***Add*** link to open an Admin Tracking Entry form to enter a NEW record.
- This is a number unique to that Admin issue enables the user to track the resolution of that issue with all related correspondence. This number is derived by the database by inserting the letters "AT" with a dash, followed by the last two number of the year and then the chronological number assignment. For example: AT-12-00001 is the first Admin Tracking number issued in 2012.

The Admin Tracking Number is an integral part of the archiving feature of the database.

- This Admin Tracking number may be used to return to the particular issue to view, edit or print it.
- This number will appear on all reports and view screens associated with the Admin Tracking database.

The user will not be able to edit the Admin Tracking number.

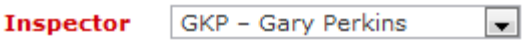
3.4 THE MOST USED LINK - ENTER NEW CAA ACTION RECORD

A. The Home Page button that will be selected most often will be CAA Action database ***Enter*** button.

B. It is the generation of these records on a daily basis that provide the CAA management and inspectors the ability to preserve the records of contacts, conversations, assistance, inspections and much more.

C. The selection of this link will bring up the CAA Action Entry Form with three fields containing default information (more on this later in this chapter)—

1) Inspector field is defaulted to the ***logged-in user***;



2) Date field is defaulted to ***today's date***; and

- ♦ If the Action to be entered occurred on a different date, the date will have to be changed.
- ♦ Don't type the new date in - sse the Select link. Too many mistakes regarding date can be traced to typing the date into the field.

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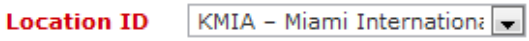
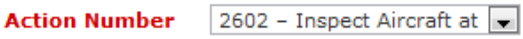
3) Location ID field is defaulted to ***user's normal work location***.



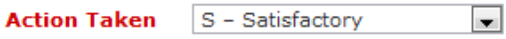
- ♦ If the work location where the Action occurred is different, the location will have to selected from a drop-down menu.

D. The next selection - ***Action number*** - completes the two additional fields.



1) Action number; and

2) ***Action Taken*** (defaulted to the most common action taken for that number).



3.5 SELECTION OF AN ACTION NUMBER - WHICH NUMBER?

3.5.1 ACTION NUMBERS ARE SPECIFIED IN THE TECHNICAL MANUALS!

A. An obvious question might be: "With 2000+ numbers to choose from - how do I know which number to pick?

B. The answer is: "Your technical manuals contain the appropriate number associated with the task to be done."

- They are generally are provided in Note Boxes at the beginning of the chapter; or
- If more than one Action Number is included in the chapter, these boxes may appear opposite to the paragraph for which they are intended.

3.5.2 HOW ARE THEY DISPLAYED IN THE TECHNICAL MANUALS?

A. An example of such a box is provided here as it would be in your technical manual.

B. Always use the Action Number specified in the technical guidance manual for the task you will be doing.

- 2260I:Eval Foreign AOC Flight Crew Documents
- 3260I:Eval Foreign AOC State of Registry Approvals
- 4260I:Eval Foreign AOC State of Registry Approvals

3.5.3 HOW DO YOU GET TO THE NUMBER IN THE DATA

The user has 3 primary methods of making that selection—

- Type the desired Action Number into the Action Number field.
- The 3-menu method (Refer to paragraph 3.6);
- The "Browse All" method (number or word search)

At the publication of Revision 11, this "type-in" feature was in beta-testing.

3.6 THERE IS THE 3-LEVEL (STEP) SELECTION LIST

3.6.1 THE FIRST (1ST)-LEVEL CATEGORY SELECTION LIST

A. The are 6 current technical specialty 1st-Level Category Lists (the one you first see when selecting the Action number drop-down menu)

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B. The database knows what your primary technical specialty is - so it gives you categories of choices for listing of numbers

C. The example to the right shows the list for maintenance inspectors.

- Notice the “Browse All” choice at the bottom. (see red arrow at the bottom)

3.6.1.1 Displayed List

A. Selection of the drop-down menu (see red arrow) in the right corner of the field will bring up a 1st--Level selection list.

B. The creators have placed 2500+ Action numbers and their descriptions in the database.

- This 3-tier sorting capability, allows the use to quickly find numbers.

C. This 1st-tier list allows the user to easily find the particular number that is pertinent to the task performed.

3.6.1.2 Two Groupings

A. The list is also divided into two groupings of categories; primarily general and specialty-specific—

1) The general grouping is the first seven categories at the top;

2) The maintenance specialty-specific (see red arrow) is the second (or lower) group showing seven categories.

B. The top grouping (except for inspections) shows categories of general numbers that apply to all specialties.

- The possible selections are listed in the order that they are generally applied in a CAA.
- The top selection (“Administration”) is the most selected, and the bottom selection (General Certification) is the least used in day-to-day CAA activities.
- The only link in the top grouping that is technical specialty-specific is ***Inspections***.
- In this example, selecting the Inspections link will take you to the Action numbers specifically for Maintenance Inspectors.

C. The second (or lower) grouping consists of links to evaluation activities that are technical specialty-specific.

- In this example, the technical specialty is Maintenance Inspector.
- Selecting any of the second grouping links will take you to Action numbers specifically for Maintenance Inspectors.

3.6.2 THE SECOND (2ND)-LEVEL PRIMARY SELECTIONS

A. Selection of a link on the 1st-Level will bring up step-down to a list of **Primary** Action numbers for the 2nd-Level selections.

- We call these 2nd-Level numbers “Root” numbers.

B. In this example, the user selected the “Administration” link.

“Primary” is defined as Action numbers designated by database creators as "root" and by management at "primary""

Notice that these Action numbers are also links. See the underlines..

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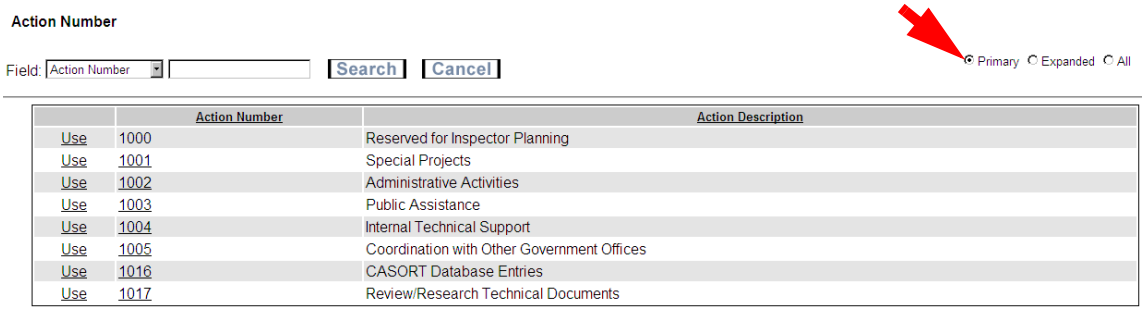
- The database then provides a drop-down listing of Primary (Root) numbers which are sometimes described as “CASORT-Lite.).



	Action Number	Action Description
Use	1000	Reserved for Inspector Planning
Use	1001	Special Projects
Use	1002	Administrative Activities
Use	1003	Public Assistance
Use	1004	Internal Technical Support
Use	1005	Coordination with Other Government Offices
Use	1016	CASORT Database Entries
Use	1017	Review/Research Technical Documents

C. The user may stop here and select ***Use*** the visible number to describe the Action that was taken....or the user make select the underlined Action number (link) and receive another listing to drill-down to a more specific description of the Action taken.

3.6.3 THE THIRD (3RD)-LEVEL SELECTIONS

A. The 3rd Level provides, in most cases, very specific numbers to describe the Action the user has accomplished. In this example, the user has selection the Primary Action Number of 1010 (Technical Meetings) and was provided more specific meeting choices.

	Action Number	Action Description
Use	1018	Technical Meeting with Organization/Individual
Use	1018A	Technical Meeting re Certification Issue
Use	1018B	Technical Meeting re AOC Issue
Use	1018C	Technical Meeting re AMO Issue
Use	1018D	Technical Meeting re ATO Issue
Use	1018E	Technical Meeting re PEL Issue
Use	1018F	Technical Meeting re Aircraft/Equipment Issue
Use	1018G	Technical Meeting re Inspection Issue
Use	1018H	Technical Meeting re Investigation Issue
Use	1018I	Technical Meeting re General Aviation Issue
Use	1018J	Technical Meeting re Aerial Work Issue

B. Note that this list of additional 1018 Action numbers allow the user to categorize the general type of meeting that occurred.

C. The original “root” or “primary” number list is pre-set for the initial training of CAA personnel.

- In the example, the basic 1018 number for “Technical Meeting” may be the best alternative for new inspectors.

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3.7 USING BROWSE ALL FUNCTION FOR ACTION NUMBER SELECTION

3.7.1 SEARCH FOR THE ACTION NUMBER

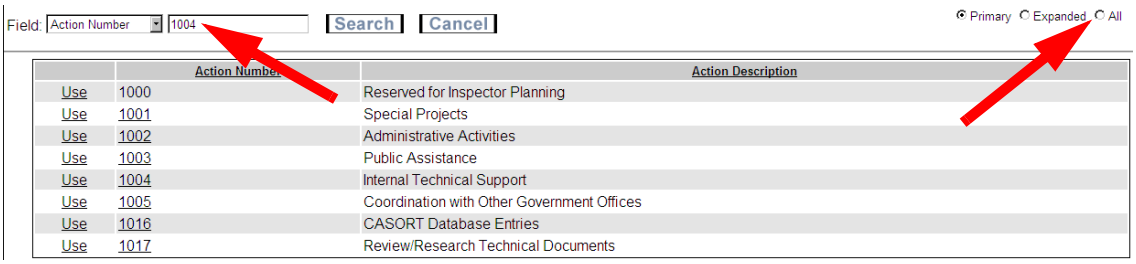
If you know the number you will be using, it may be simpler to just—

1) Select ***Browse All***;

2) Type the number into the search field (that field is already defaulted to Action Number);

"Browse All" will be your friend!

3) Select the ***All*** radial button on the right side of the header;



4) That action with provide a link to the specific number you selected;

5) Select ***Use*** in the left column associated with that number;

6) That action will place the Action Number and Action Taken for that number on the data entry form.

7) Now continue to fill out the CAA Action Entry form.

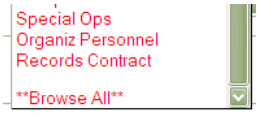
3.7.2 SEARCH FOR DESCRIPTION OF TASK (KEYWORDS)

A. But if you do not know the correct number to use and would like to search the entire base of number descriptions for a keyword. The following search technique should be used.

"Browse All" will be your friend

- An example generic keyword is "manual" which gives a list of all manual-related Action numbers.
- An example generic keyword for any Action that would be related to a specific type of aircraft is "type-specific"
- Example organization keywords include "ATO" (Approved Training Organization, "AMO" (Approved Maintenance Organization) "AWC" (Aerial Work Certificate)
- Example personnel licensing keywords include "PEL" (Personnel Licensing); "ATPL" (Airline Transport Pilot License), "PPL" (Private Pilot License)

B. At the bottom of the 1st-level Action number links there is a **Browse-All** selection. (Sometimes it will be necessary to scroll down),. This selection opens all of the numbers in the system for a search. The following is an example of the Browse-All search function.



1) In the search fields, select **Action Description** and enter the word(s) you would like to search.

   ♦ In this example, the inspector is looking for "major repair" and enters the word "major."

2) Then selects the **All** radial button on the right side.

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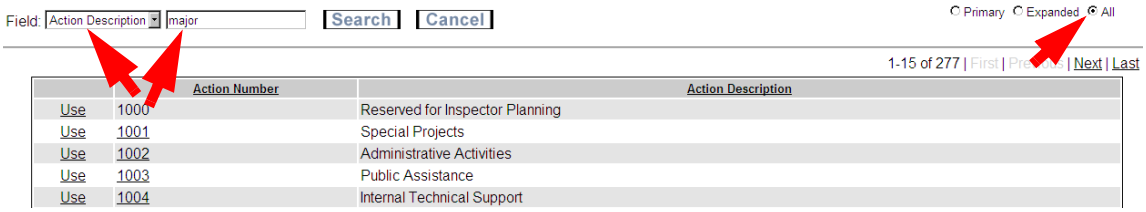
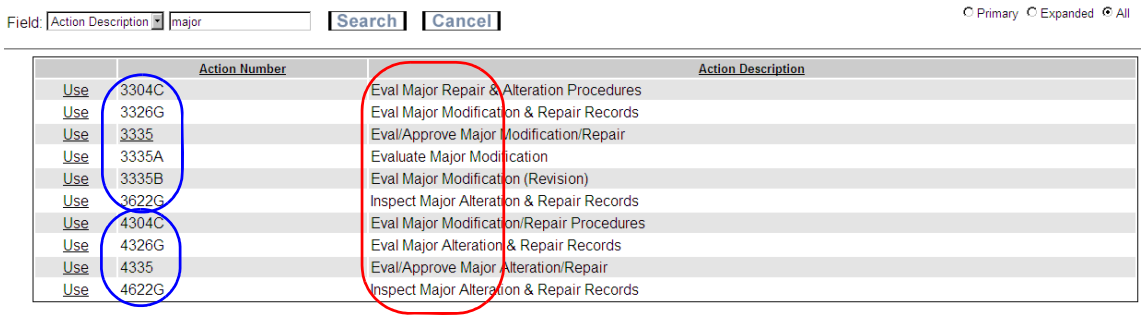
- Remember that the selection of one of these radial buttons also begins the search.


Field: Action Description major Search Cancel
Primary Expanded All
1-15 of 277 | First | Previous | Next | Last
Action Number
Action Description
Use 1000 Reserved for Inspector Planning
Use 1001 Special Projects
Use 1002 Administrative Activities
Use 1003 Public Assistance
Use 1004 Internal Technical Support

- Note that this search brings up all of the action descriptions in the Action numbers that have the word "major" in the description.
- In this search, the user has determined that there are numbers addressing "major repair" for both maintenance and avionics inspectors. The user may now select the most appropriate Action number.


Field: Action Description major Search Cancel
Primary Expanded All
Action Number
Action Description
Use 3304C Eval Major Repair & Alteration Procedures
Use 3326G Eval Major Modification & Repair Records
Use 3335 Eval/Approve Major Modification/Repair
Use 3335A Evaluate Major Modification
Use 3335B Eval Major Modification (Revision)
Use 3622G Inspect Major Alteration & Repair Records
Use 4304C Eval Major Modification/Repair Procedures
Use 4326G Eval Major Alteration & Repair Records
Use 4335 Eval/Approve Major Alteration/Repair
Use 4622G Inspect Major Alteration & Repair Records

3.7.3 COMPLEX, YET SIMPLE, THOROUGH DESCRIPTIVE NUMBERING

A. The most critical of all the fields for standardization of data entry will be the Action Number field. This will be the field that "writes the book" on the CAA activities. For that reason, it is very important for the user to be well-trained and standardized on the proper selection of Action numbers.

B. The CAA Action data entry fields were carefully selected based on technical experience with the type of information that should be preserved as a record for the CAA. The fields included in the current version have now been used successfully by 12 different CAAs over a period of 10 years.

C. There are some considerably more complex databases for tracking CAA inspector activity. The authors are aware of one system that has 100+ fields in the activity data entry form. The CAAs using larger, more complex data entry methods have difficulty ensuring standardized completion of data records.

D. Using fewer data entry fields has the benefit of ease of entry which contributes to better standardized entries and, more significantly, many more inspector activity records. This ensures a better picture and continuity of the safety oversight program.

E. The key that allows the reduction of complexity is Descriptive Numbering. As the user progresses through the subsequent sections and makes entries in the system, they will begin to understand that they are "writing a chronological story."

F. The standard reports that can be derived from the CAA Action database were developed to provide those reports in chronological order and include the abbreviated description of the task accomplished. Each of the CAA Action reports contains a "chronological story" that is easy to track. Unlike other CAA inspector activity databases - the CAA Action reports are simplified and easy to understand.

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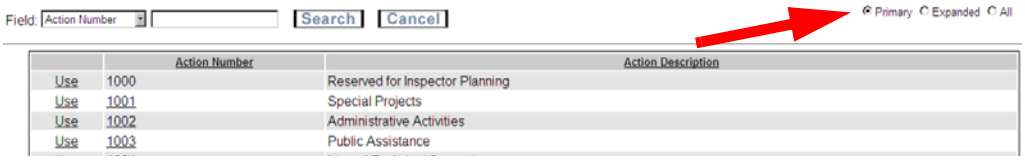
G. This concept of "writing the story" of your work is so important to your database records that you need to STOP & ATTEMPT to use the Action Numbers and descriptions to write a story about your evaluation of an MEL over 3 days in the training database.

- Now go Home Page> View Action Records.
- Does your records contain at least 3 entries?
- Were the action taken I=In Work for 2 days with an A=Approval (or D=Disapproved) on the last day?

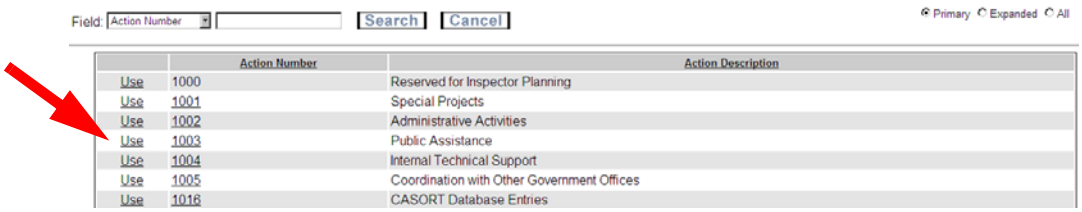
3.8 RECAPPING "ACTION NUMBERS"

3.8.1 SELECTING PRIMARY (ROOT) NUMBERS

A. Looking in the right top corner of the header for the numbers shown below, we can see that this grouping of Administration numbers are the "Primary" numbers.

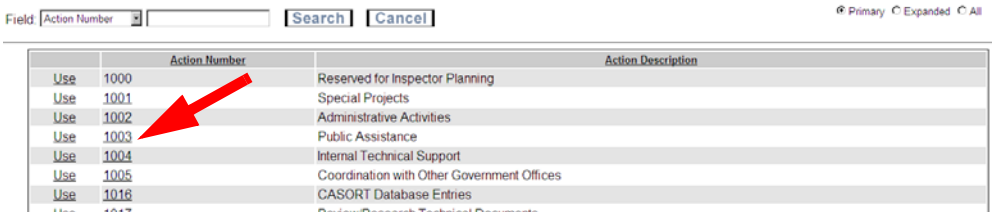


B. The user may select the primary number by just mouse-clicking on the word **Use** beside the action number appropriate to the task performed



3.8.2 SELECTING THE ASSOCIATED "EXPANDED" NUMBERS

A. But, if the user would like to be more specific about the task he performed he should mouse-click on the underlined "root" number, such as the example here: **1003**



- The underline under the number indicates that the use can drill-down to a more specific task description.
- This number is called a "root" number to indicate that it is possible to drill-down from this general task to more specific numbers related to this task.

B. After selecting the root number 1003, the following expanded list of "Public Assistance" related numbers appears. If the inspector was provided assistance regarding the requirements for an

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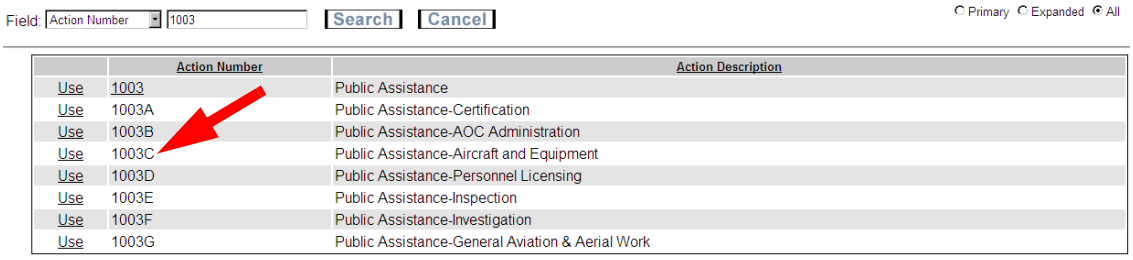
aircraft or its equipment, he would select the **Use** adjacent to 1003C as the action number for the task performed.


Field: Action Number 1003 Search Cancel
Primary Expanded All
Action Number
Action Description
Use 1003 Public Assistance
Use 1003A Public Assistance-Certification
Use 1003B Public Assistance-AOC Administration
Use 1003C Public Assistance-Aircraft and Equipment
Use 1003D Public Assistance-Personnel Licensing
Use 1003E Public Assistance-Inspection
Use 1003F Public Assistance-Investigation
Use 1003G Public Assistance-General Aviation & Aerial Work

3.8.3 EXPANDING AND COMPRESSING THE ACTION NUMBERS

A. In the right corner of the screen, the user can see the that there are three choices (Primary-Expanded-All) for number display—

- Note that the selection of the root number expands the choices to include both the root number and all other numbers available under the "root.:
- Selection of **Primary** will give a limited listing of primary (root) numbers for the user.
- Selection of **Expanded** will give the user the other numbers related to the "root" number.
- Selection of **All** will give the user all of the numbers (both root and expanded)

- These radial buttons are used throughout the database to limit the number of items shown on the "Primary" screen for a specific application.
- The user should understand that it will be necessary to select "all" to see all available files for the specific application.

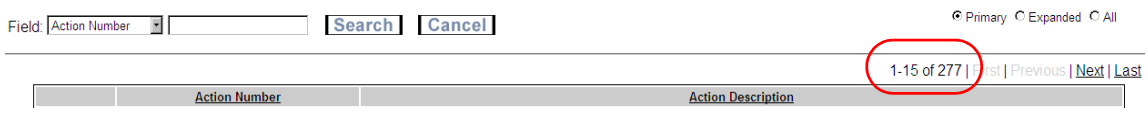
3.8.4 MORE THAN ONE PAGE OF POSSIBLE SELECTIONS

A. The selection of **All** will occasionally bring up a page of information that indicates that there were more available files on than could be displayed on a single page.

- The database preference (see home page link) is set to view 100 records at a time.
- The user may change this number to a larger or smaller amount.

B. In the following example, there were more than the user-selected amount. In this situation, a count is provided of the available files and provide links (**First, Previous**, **Next**, **Last**) to the other pages.

Note that the scroll function does not work on these pages. It will be necessary to left-click on the header links "Previous," "Next" or "Last" to navigate on the Action Number pages.


Field: Action Number Search Cancel
Primary Expanded All
1-15 of 277 | First | Previous | Next | Last
Action Number
Action Description

3.9 ENTERING CAA ACTION LOCATIONS

The purpose of this section is to discuss the recommended method for entering LOCATION information in the database software.

3.9.1 ICAO LOCATION IDENTIFIERS

A. The standard reports (see Home Page "Reports" tab) provided in this database are configured to use the ICAO 4-Letter Location Identifiers.

- This feature allows the reports to compress airport identification into a short, but meaningful format, rather than use the much longer formal airport names.

- It is important to the summary reports that this non-normal entry be in the ICAO format.
- The use of locally-derived identifiers could compromise the validity of summary reports.

B. The CAA Action entry fields for LOCATION and DESTINATION are routinely completed by inspector personnel through selections from a drop-down menu.

3.9.2 CAA ACTION LOCATION SUB-TABLE

A. The database has a LOCATION sub-table that provides possible airport selections to the user in drop-down menu format.

B. This is intended to provide the locations used by the database – not to be an all-inclusive list of world airports.

The creators of the database have provided a "starter pack" of 700+ international airports.

C. If the user needs to have an additional airport added by the DQC—

1) Complete your Action record;

2) Select the ***Location = 0000-Need New Location***; and

3) Insert the new airport name in the MEMO field.

- ♦ This will key the DQC to add the airport to the Locations list.

3.9.3 CAA ACTION USER LOCATION ENTRIES

A. There are two "LOCATION" fields on the CAA Action Entry Form – Location ID and Destination.

B. LOCATION ID is a required field for every CAA Action entry.

C. When opening a new CAA Action Entry Form, the software defaults the LOCATION ID to the logged-in user's normal work location.

- This default feature reduces the number of fields that have to be completed during routine entries.

D. For the purpose of the CAA Action entry, a user's location is the nearest airport to where the work function was performed.

This is true even when the actual location may have been a city more than 20 miles away.

E. If the user desires to be more specific about a special location – this information should be entered in the MEMO field.

F. For entries regarding In-Flight inspections, the value entered in the LOCATION ID field should be the airport of departure.

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3.9.4 DESTINATION ENTRIES

A. The other field that takes information from the Location sub-table is DESTINATION. The field has the same drop-down menu used by the LOCATION ID field.

> DESTINATION is a required entry for In-Flight inspections.

B. This field is only used to provide information regarding a particular flight, where a departure - and destination point – is known.

3.9.5 USE OF THE DROP-DOWN MENU

A. Selecting the arrow in the right corner of the LOCATION ID or DESTINATION field will provide a 1st-Level selection list.

B. This 1st-Level list will include the last selections (up to 10) that the user has made in those fields.

C. A "***Browse All***" link will take the user to the 2nd-Level – defaulted to provide those locations that are used routinely by the Inspectorate.

D. The user may select from the list of airports (see example below) by clicking on "***USE***" in the left column of the airport selection desired.

3.9.6 "PRIMARY" VS. "EXPANDED" LOCATION CHOICES

A. Most view records menus within the CASORT database are defaulted to either "Active" or "Primary" records. The Location ID choices are defaulted to shown **Primary** records. These are the Locations that are routinely used by the Inspectorate.

	Location ID	Airport Name	City	State/Province	Country	Primary
Use	KATL	Hartsfield International	Atlanta	Georgia	USA	Yes
Use	KIND	Indianapolis International	Indianapolis	Indiana	USA	Yes
Use	KJFK	Kennedy International	New York	New York	USA	Yes
Use	KLAW	Los Angeles International	Los Angeles	California	USA	Yes
Use	KMIA	Miami International	Miami	Florida	USA	Yes
Use	KORD	Chicago O'Hare International	Chicago	Illinois	USA	Yes

B. This default is indicated by the radial buttons in the upper top right. The **Expanded** choices are locations in the database that are not routinely used by the Inspectorate. The **All** choice will display all locations in the database.

C. The Data Quality Coordinator has the capability to change the status of a Location from the "Primary" to "Expanded" list or vice-a-versa. The user should notify the DQC when a Location status change is necessary.

3.9.7 LOCATION NOT INCLUDED IN DROP-DOWN LIST

A. The default settings in this software will NOT allow the user to insert a new airport location into the list – while in the process of making a CAA Action entry.

B. If, when entering a CAA Action record, an inspector would like to enter a location that is not currently provided in the LOCATION sub-table—

> Most CAAs allow only the Data Quality Coordinator to edit the LOCATION sub-table list.

1) First complete all other fields; then
2) Select from the Location drop-down menu the entry: ***0000-New New Location***
3) Enter the name of the airport, nearby city and country; then
4) Coordinate with the Data Quality Coordinator to have the location included in the sub-table.

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3.10 ENTERING AIRCRAFT MMS INFORMATION

The purpose of this section is to discuss the recommended method for entering AIRCRAFT MMS (*make, model, series*) information in the database software.

3.10.1 AIRCRAFT MMS DESIGNATIONS

A. The summary reports are configured to use the aircraft make and model, followed by a dash plus the series number, such as B737-100 (representing Boeing [make] 737 [model] and -100 [series]. The same methodology should be used for small aircraft.

> While it would be permissible to have the generic B737 listed as an MMS, it is important to the Inspectorate functions to know the exact series, where possible.

B. The CAA Action entry field for AIRCRAFT MMS is completed through selections from a drop-down menu.

> The creators of the database have provided a "starter pack" of 100+ aircraft MMS in this menu.

C. The AIRCRAFT MMS field will not accept a user special entry – the Identifier must be taken from the selection list.

3.10.2 CAA ACTION AIRCRAFT MMS SUB-TABLE

A. The database has an AIRCRAFT sub-table that provides possible Aircraft MMS Designation selections to the user in drop-down menu format.

B. This sub-table is intended to default to the selection (view) page to provide the currently active AIRCRAFT MMS that are operating under the supervision of the Inspectorate.

- Aircraft MMS that are no longer actively operating under the Inspectorate supervision should be available in the **Inactive** list.

3.10.3 CAA ACTION USER AIRCRAFT ENTRY

A. There is only one aircraft field on the CAA Action Entry Form.

B. AIRCRAFT is not a required field for every CAA Action entry.

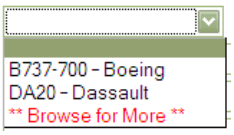
C. When opening a new CAA Action Entry Form, the software defaults the AIRCRAFT field as a blank entry field with a drop-down menu.

> Users should regard the aircraft field as a REQUIRED entry when—
> - Making evaluations of any aircraft type-specific documents,
> - Conducting inspections involving specific aircraft and
> - Any time an AIRCRAFT REGISTRATION number is entered into the CAA Action record.

3.10.4 USE OF THE DROP-DOWN MENU

A. Selecting the arrow in the right corner of the AIRCRAFT MMS field will provide a 1st-Level selection list.

B. This 1st-Level list will include the last selections (up to 10) that the user has made in this field. Clicking on any of these selections will place that choice in the AIRCRAFT MMS field on the CAA Action Entry Form.



C. A "Browse for More" link will take the user to the 2nd-Level – defaulted to only provide the ACTIVE Aircraft. Clicking on **Browse for More** will bring up a listing of aircraft currently registered with the CAA.

> - To view the entire list of Aircraft, both active and inactive, the user should select the "all" radial button located in the top right corner.
> - To view the "inactive" list of Aircraft MMS, select the "inactive" radial button.

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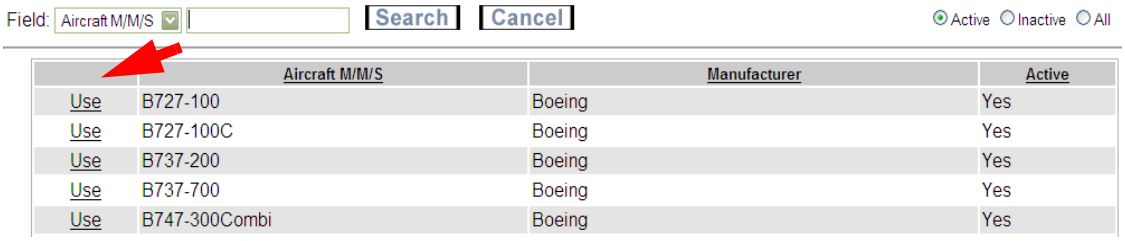
D. The user may select from the list of AIRCRAFT by clicking on "USE" in the left column of the aircraft selection desired.



	Aircraft M/M/S	Manufacturer	Active
Use	B727-100	Boeing	Yes
Use	B727-100C	Boeing	Yes
Use	B737-200	Boeing	Yes
Use	B737-700	Boeing	Yes
Use	B747-300Combi	Boeing	Yes

3.10.5 ACTIVE VS. INACTIVE AIRCRAFT MMS

A. Most view records menus within the CASORT database are defaulted to either "Active" or "Primary" records. The Aircraft MMS choices are defaulted to "Active" records.

B. These are the Aircraft MMS that are currently included in the Inspectorate safety oversight.

C. This default is indicated by the radial buttons in the upper top right.

- The **Inactive** choices are Aircraft MMS in the database that are not currently operated under the Inspectorate.
- The **All** choice will display all Aircraft MMS in the database.

D. The user may also select an aircraft from either the **Inactive** or **All** list by choosing the proper radial button and then making a selection from the list.

E. The Data Quality Coordinator has the capability to change the status of an Aircraft from the "Active" to **Inactive** list or vice-a-versa.

- The user should notify the DQC when an Aircraft MMS status change is necessary.

3.10.6 AIRCRAFT NOT INCLUDED IN DROP-DOWN LISTS

A. The default settings in this software will NOT allow the user to insert an Aircraft MMS that has not previously been entered by the DQC into the list – while in the process of making a CAA Action entry.

B. If, when entering a CAA Action record, an inspector would like to enter an aircraft MMS that is not currently provided in the MMS sub-table—

1) First complete all other fields; then
2) Select from the drop-down menu the choice: ***0000-Need New Aircraft MMS***; then
3) Enter the Aircraft MMS from the manufacturer's type data sheets into the MEMO field; then
4) Coordinate with the DQC for the change.

- Only the Data Quality Coordinator may edit the AIRCRAFT sub-table list.
- It is important to the summary reports that this AIRCRAFT sub-table entry be made in a standardized manner.

3.11 ENTERING ORGANIZATION INFORMATION

The purpose of this section is to discuss the recommended method for entering ORGANIZATION information in the database software.

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3.11.1 ORGANIZATION (CERTIFICATE) IDENTIFIERS

A. The summary reports are configured to use 4-Letter ORGANIZATION (Certificate) IDENTIFIERS. This allows the reports to compress organization identification into a short, but meaningful format, rather than use the much longer formal organization business names.

B. The CAA Action entry field for ORGANIZATION is normally completed through selections from a drop-down menu.

C. The ORGANIZATION field will not accept a user special entry – the Identifier must be taken from the selection list.

D. The suggested method for establishing the 4-letter ORGANIZATION IDENTIFIER is to use the first three letters as unique initials for the organization.

1) Obvious examples would include “TME” for Timely Maintenance Efforts, Inc., or “AAA” for Aero Aces Airlines.

2) Not so obvious examples would include “ORR” for Oscars Flying Organization or “ABL” for Ables Aviation Repair.

3) Regardless of the three letter initials chosen, they will become quickly imprinted in the users’ brain as associated with the ORGANIZATION they represent.

E. The fourth letter is used to represent the type of organization certificate that this ORGANIZATION IDENTIFIER is associated with. An example method that has been used by a number of CAAs is—

1) M = Approved Maintenance Organization

2) T = Approved Training Organization

3) W = Aerial Work Organization

4) A = Air Operator (Used for commercial air transport operations involving scheduled passenger operations in aircraft with more than 20 passenger seats.)

5) B = Air Operator (Used for commercial air transport operations involving non-scheduled or cargo operations in aircraft with more than 20 passenger seats and/or payload of more than 15,000 kgs.)

6) C = Air Operator (Used for commercial air transport operations involving aircraft with 10 to 20 passenger seats.)

7) D = Air Operator (Used for commercial air transport operations involving aircraft with 9 or less passenger seats.)

8) N = Non-Certificated Organization (Used to track those “general aviation operations” accomplished by organizations.)

9) F = Foreign operators

3.11.2 CAA ACTION ORGANIZATION SUB-TABLE

A. The database has a ORGANIZATION sub-table that provides possible Organization Identifier selections to the user in drop-down menu format.

B. This is intended to provide, by default, the currently active ORGANIZATION certificates that are approved by the Inspectorate.

- The user must select the **Inactive** or **All** radial button to view the inactive certificates.

The longer this list is – the more cumbersome it becomes to the user.

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C. Inspectors must advice the Data Quality Coordinator in writing (e-mail is acceptable) of the need to—

1) Enter new Organizations in the database and

2) Move organizations from “Active to “Inactive” status.

3.11.3 CAA ACTION USER ORGANIZATION ENTRY

A. There is only one organization field on the CAA Action Entry Form.

B. ORGANIZATION is not a required field for every CAA Action entry.

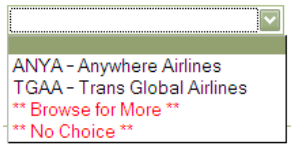
C. When opening a new CAA Action Entry Form, the software defaults the ORGANIZATION field as a blank entry field.

> Users should regard the organization field as a REQUIRED entry when entering any CAA Action record that is associated with an organization, it’s employees, aircraft or facilities.

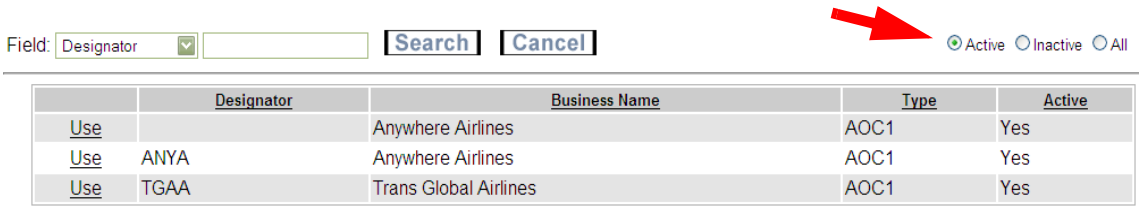
3.11.4 USE OF THE DROP-DOWN MENU

A. Selecting the arrow in the right corner of the ORGANIZATION field will provide a 1st-Level selection list.

B. This 1st-Level list will include the last selections (up to 10) that the user has made in this field. Clicking on any of these selections will place it in the ORGANIZATION field.



C. A **Browse for More** link will take the user to the 2nd-Level – defaulted to only provide the ACTIVE organizations.



	Designator	Business Name	Type	Active
Use		Anywhere Airlines	AOC1	Yes
Use	ANYA	Anywhere Airlines	AOC1	Yes
Use	TGAA	Trans Global Airlines	AOC1	Yes

3.11.5 ACTIVE VS. INACTIVE ORGANIZATIONS

A. Most view records menus within the CASORT database are defaulted to either ‘Active” or “Primary” records.

- The Organization choices are defaulted to “Active” records.

> To view the entire list of Organizations, both active and inactive, the user must set up a search by selecting “organization identifiers” from the drop-down menu; leave the second field blank and select “search.”

B. These are the Organizations that are currently included in the Inspectorate safety oversight.

C. This default is indicated by the radial buttons in the upper top right of the view page.

- The **Inactive** choices are Organizations in the database that are not currently authorized by the Inspectorate.
- The **All** choice will display all Organization Identifiers in the database.

D. The Data Quality Coordinator has the capability to change the status of an Organization from the “Active” to **Inactive** list or vice-a-versa.

- The user should notify the DQC when an Organization status change is necessary.

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3.11.6 ORGANIZATION NOT INCLUDED IN DROP-DOWN LISTS

A. The default settings in this software will NOT allow the user to insert a new Organization Identifier into the list of choices – while in the process of making a CAA Action entry.

> The creators of this database recommend that – in the interest of standardization - users be restricted from making the direct entry pending coordination with the Data Quality Coordinator to ensure that the Organization Identifier is correct and unique.

B. If, when entering a CAA Action record, an inspector would like to enter an organization identifier that is not currently provided in the ORGANIZATION sub-table—

1) First complete all other fields; then

2) Use the Org Identifier drop-down menu and make the selection: ***0000-Need New Organization ID***;

3) Enter the Organization's official business name and a suggested Org Id in the MEMO field; then

4) Coordinate with the Data Quality Coordinator to have the ORGANIZATION included in the sub-table.

> - Only the Data Quality Coordinator may edit the ORGANIZATION sub-table list.
> - It is important to the summary reports that the Organization Identifiers be entered in a consistent manner.

3.12 CONTROL NUMBERS AS REFERENCE NUMBERS

A. The purpose of this section is to discuss the use of the CAA Action Control Numbers as reference numbers.

B. The Control Number is a unique computer-generated number that is assigned to a specific file when the user opens a new Action Entry form.

C. That unique Control Number may then be used as a "Control Number" by the Authority for filing and tracking purposes.

D. Users need to understand how in inclusion of the CONTROL Numbers as a reference marker for approvals and other authorizations by the Authority is very helpful for Summary Reports.

3.12.1 THE CONTROL NUMBER

A. Each Action record has an assigned Control number. This number will be critical to the inspector in many different ways.

B. But the first thing the inspector should understand is – this is a unique number. No other CAA Action file will have this number.

> With this number the inspector can return to the record to view, edit or print it sometime in the future.

C. The Control number of each record appears on **ALL of the CAA ACTION VIEW RECORDS** screens.

D. The Control Numbers of the records appear on **ALL of the CAA ACTION SEARCH REPORTS** provided under the Home Page "Reports" tab. This feature allows the user to search for files via the reports function.

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3.12.2 THE CONTROL NUMBER IS UNIQUE

A. The Control Number is unique to a particular record. This is true because it is unique to the year and within that year.

- For example, Control Number 02-02415 will always be the 2415th record of the year 2002.
- That uniqueness allows the CAA to use this number in a variety of ways as a reference marker for documents.

B. The CONTROL NUMBER is used in several helpful ways:

- It is the unique number inserted in small print on licenses and certificates, connecting that license or certificate to a specific CAA Action record;
- It is used to assign unique numbers to projects to connect those records that are associated with a specific project, tracking assignment or inspector use assignment; and
- It is a part of the unique file identifier for paper records associated with incidents, accidents and enforcement.

C. The CONTROL NUMBER is an all purpose number that tells the user that the Authority has a unique CAA Action record that is associated with an event, action, or file.

D. Because that number is included on the licenses and certificates, it will be the primary comparison reference (to check for fraudulent records) in further inspections related to all records in the CAA.

E. The Control Number also provides flexibility for archiving of records from previous years. When the New Year is rung in around the world, the database resets and the first record of the year will be 00001.

- The previous year's records are now available for archiving.

- Control numbers are particular helpful to future archiving of the records.
- AVSOG is currently developing the capability of a CAA to archive CAA Action and Safety Issue records by year (that are more than 2 years old).
- Once archived, records would no longer be editable, but they may still be consulted for past actions or trends.

F. It is important as you leave this section that you understand the term *"Control Number"* and be able to use it properly to connect records.

3.13 CONNECTING RECORDS

The purpose of this section is to discuss the different ways that records may be connected to provide a complete picture of the—

- Accomplishment of a multi-part project;
- Investigation of an occurrence, accident or incident;
- Certification of an Air Operator, Maintenance Organization, or Training Organization;
- Initial or OJT training, and
- Many other connecting relationships you will find as you use the system.

3.13.1 THREE CONNECTING FIELDS

A. There are three fields that are provided specifically for the purpose of connecting records.

B. These fields are—

1) Project Number;
2) Tracking Number; and
3) Inspector Use.

The creators of the database recommend that a control number should be used as the "connector."

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3.13.1.1 Using the Project Number Field to Connect Records

A. The Project Number Field is provided to connect records for events that have their beginning outside the Inspectorate.

B. This would include-

- Special projects generated at the Ministerial or Director level;
- Certification projects; and
- Investigation projects.

3.13.1.2 Using the Tracking Number Field to Connect Records

A. The Tracking Number Field is provided to connect records for events that have their beginning inside the Inspectorate (but not focused on a single individual).

B. This would include those situations where management would like to track internal projects that involve several users.

3.13.2 USING THE INSPECTOR USE FIELD TO CONNECT RECORDS

A. The Inspector Use Number Field is provided to connect records that are focused on the individual user.

B. This would include-

- The inspector choosing to track a series of records for his own purposes.
- Tracking OJT training for a specific inspector
- Tracking formal training for a specific inspector

3.13.3 INITIATING THE FIRST CONNECTING RECORD

A. All projects will have an initiating CAA Action record.

B. The ***Control Number*** of that CAA Action record will become the assigned ***Project Number***.

C. In this example, an inspector will began a certification project to for initial certification of an air operator..

1) First, the inspector enters a CAA Action record to begin the certification process for adding a new aircraft type;

2) It is a good practice to include a MEMO stating some words to the effect that the inspector “Began” Project: 12-00007.” In this case “Initial Certification.”

3) The inspector will use the Project Number drop-down menu and make the selection: ***0000-Need New Project Number***; and

4) Enter the control number as the project number and recommended project title in the MEMO field’ and

Control Number	12-00007
Action Number	1150 – Certification: Original
Planned Event	
Inspector	GKP – Gary Perkins
Project Number	0000 – NEED NEW PROJECT NUMBER
Action Taken	I – In Work
Date Accomplished	26/08/2012
Organization	AAWA – Anywhere Airlines Worldwide, Ltd.
Location ID	KMIA – Miami International
Primary PEL Number	
Aircraft Registration	
Flight Number	
Destination	
Memo	Began Project: 12-00007 Certification: Anywhere Airlines
Record ID	29

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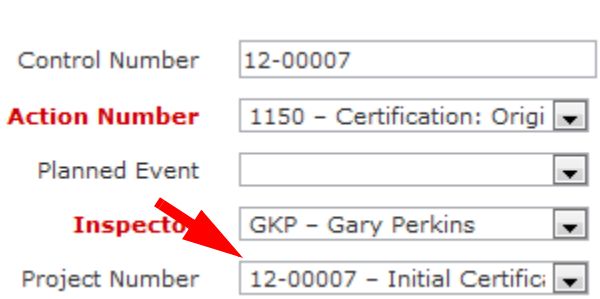
5) Coordinate with the Data Quality Coordinator enter that control number and title into the Project Number sub-table.

3.13.4 INSPECTOR CHECK OF INITIAL ENTRY

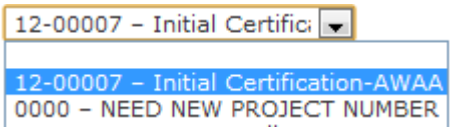
When advised by the Data Quality Coordinator that the Control Number has been inserted in the database, the inspector may check the record by—

1) Selecting the CAA Action ***View*** button on the Home Page;
2) Selecting the Control Number for the initiating record, and
3) Using the Edit feature to open the record for editing, check the Project Number field.



3.13.5 DROP-DOWN AVAILABILITY OF THE CONNECTING NUMBER

1) After the connecting ***Project Number*** has been included in the list, the user that just entered the connecting number, when entering a new record, can just click the drop-down menu of the field in which the number was entered.



2) Since he just entered the connecting number in the previous record – it will now show up in his drop-down menu as a recent choice.
3) This will not be true for the other users – until they select the new Project Number in one of their CAA Action records.

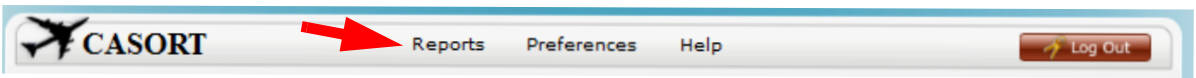
3.13.6 AVAILABILITY OF REPORTS THAT USE CONNECTING NUMBERS

A. Of the nine links under the Reports tab, two lead the user to five standard reports that use the connecting number feature to sort and present the connected records. They are—
   1) Certification Reports; and
   2) Special Tracking Reports
B. Three of those reports rely on the Project Number field as the source of the connecting number.
C. Two (Tracking Number Summary and Inspector Use Summary) are simple sorts of a specific connecting number in those fields. The following is an example showing the available Special Tracking Reports.

Special Tracking Reports	These reports provide for the use of control number tracking of special projects and other critical activities.
Project Number Summary	Provides a chronological listing of all CAA Action Record IDs in the database for a specific project number
Tracking Number Summary	Provides a chronological listing of all CAA Action Record IDs for a specific Tracking Number
Inspector Use Number Summary	Provides a chronological listing of all CAA Action Record IDs in the database for a specific Inspector Use number

3.13.7 EXAMPLE OF CONNECTED RECORDS

1) The user wanting a standard connected number report will click on the ***Reports*** link.



2) The list of categories of standard reports will appear.

3) In this example, the user would like to have a report of the connected certification records using the Project Number 08-00124.

4) The user could select the Completed Certification Summary Report.

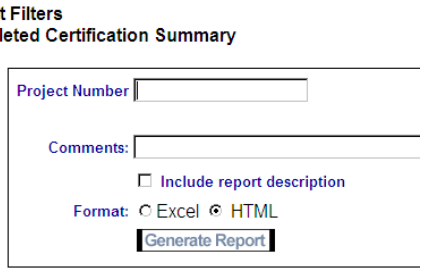
Completed Certification Summary	Provides a chronological listing of all CAA Action events in the certification records in the database for a specific certification project number. Keep a hard copy in the AOC Completed Certification Report.

5) Clicking on that link causes the project number filter to appear.

6) Enter 08-00124 in the provided space.

7) Click on ***Generate Report.***

8) The report then appears in printable form.



Completed Certification Summary

Report Filter: Project Number = C08124

ID#	DATE	Action #	SPC	DESCRIPTION	PE	ACTION	LOC	INI	Project Number	ORG	MMS	REG#
124	17/07/2008	1152A	G	Authorise New Aircraft Type		I	KMIA	GKP	C08124	TGAA	B737-700	
125	17/07/2008	1001B	G	Certification Project Coordinator Duties		I	KMIA	GKP	C08124	TGAA		
126	17/07/2008	1154	G	Conduct Certification-Related Formal Meeting		C	KMIA	GKP	C08124	TGAA		

- To return to the database after compiling a report – the user must use the Web Browser "Back" arrow.
- Clicking the X=Close in the top right will close the database application.

3.14 MEMO FIELD ENTRY RESTRICTIONS

A. The large field at the bottom of the CAA Action Entry form is the MEMO field.

B. The purpose of the MEMO field is to record general information about the persons contacted and the subjects discussed.

C. This field has 500 character spaces.

D. There is no provision to track the resolution of any information recorded in the MEMO field.

No issues that must be tracked to resolution will be recorded in this field.

3.14.1 POTENTIALLY DANGEROUS FIELD

A. Past experience with CAA Action database entries by inspectors has shown that the MEMO field is potentially dangerous to the credibility of safety oversight programs.

B. Inspectors tend to include issues in this field which should be recorded in the safety issues tracking process.

Inspectors should be very careful and thoughtful when entering information in this field.

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C. The result can be embarrassing to the safety oversight program. Issues entered in this field become "buried" and "forgotten" until an international event such as an accident occurs.

> Then the Accident Board of Inquiry will find and publish these "buried" (and unresolved) issues.

D. The remainder of this section provides example guidance for the types of entry that are acceptable – and some that are not.

3.14.2 INTENDED FOR INSPECTOR NOTES

A. The primary purpose of the Memo field is for inspectors to record notes to themselves – not other readers.

B. Again, these notes should not contain safety concerns that must be - or were - resolved.

C. All safety concerns will always be entered in the Safety Issue tracking system.

> - Your attention is again drawn to the point that ALL identified safety issues will be entered in the Safety Issue tracking system.
> - This includes even those that were corrected in the inspector's presence.

D. Acceptable notes will include such information as the—

1) Purpose of a meeting, conversation or discussion;

2) Attendees at a meeting, conversation or discussion;

3) The subjects discussed or provided; or

4) Inspector interpretation or recommendations provided.

3.14.3 EXAMPLES OF ACCEPTABLE MEMOS

The following examples are considered good Memos—

Memo Telecon with George Novak. Discussed the contents of the formal application for AOC. Reviewed the AOC Advisory Circular. Emphasized the need to submit a complete formal application package.

Memo Meeting with George Novak and Tim Robbins. Inspector JJohnson also attended. Discussed the general and specific requirements for an acceptable MEL. Mr. Novak stated that they will try to have the new MEL to this office by May 2004.

Memo Meeting with James Albert. Discussed the requirements for a commercial Pilot License. Mr Albert decided that he does not yet meet those requirements.

Memo Arrived at the aircraft at the scheduled departure time of 1400. The aircraft did not actually depart until 1800.

3.14.4 ACCEPTABLE MEMO REGARDING TECHNICAL EVALUATION

A. It is permissible to reference disapprovals in the Memo, provided that the Memo note relates to a document or procedure that is not yet—

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1) Approved for use; or;

2) In use in civil aviation operations.

B. The following is an example of an acceptable Memo regarding a technical evaluation.

Memo Letter to the Director of Operations outlining the 32 inspector comments that must be corrected before the MEL can be approved. Letter also advised that these corrections must be submitted as Revision #1 in accordance with the system of revision.

It is not acceptable to make such a negative statement in Memo about a manual or procedure currently in use or approved for use by an operator. In that case, it would be necessary to open a Safety Issue Report to track resolution of the issues.

3.14.5 ACCEPTABLE MEMO REGARDING TECHNICAL INSPECTION

A. It is acceptable to summarize the results of a less-than-commendable inspection - *provided that safety issues addressing all findings were opened*.

B. The following example provides an acceptable Memo summary of an inspection—

Memo The records were located in Hangar 2, Room 304. Director of Operations Bob Brantly observed the inspection. Brenda Moore was the assigned caretaker and entry person for the records. Had 12 findings during the inspection. Opened safety issues covering all identified issues.

- This is acceptable because the inspector does not cite the findings here.
- The referenced findings have been entered into Safety Issue Reports for tracking until resolution.

3.14.6 WHAT SHOULD NOT BE ENTERED!

A. Issues that need to be tracked to resolution should not be entered in the Memo field.

B. The following examples are provided to avoid common entry mistakes in the Memo field.

It is better to enter no information here – than to carelessly make entries.

3.14.7 COMMON MISTAKE: INSPECTION FINDINGS IN MEMO

1) Inspector conducts an inspection of an aircraft.

2) Inspector finds mechanical discrepancies that indicate that aircraft is not airworthy.

3) Inspector issues the owner an Airworthiness Condition Notice listing the mechanical discrepancies found.

4) Inspector returns to the office and begins making a CAA Action record.

5) When the inspector gets to the Memo field, he makes the following entry—

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Memo Inspected aircraft, had the following findings: Flap track had not evidence of lubrication. Right tire did not have any visible tread remaining. The number 2 propeller had deep nicks that had not been filed out. The #2 engine had a fuel leak of one drop per minute from the low point. Fuel dripping on tire.

Issued an aircraft condition notice to the owner.

- WRONG - THIS ENTRY IS A MAJOR MISTAKE!
- No indication of a safety concern should be included in the Memo.
- This includes even those safety concernsthat were resolved while the inspector was on-site.

6) What the inspector should have done was open a safety issue to the CAA Action record.

Safety Issues 0 Add

Actual Finding * UNAIRWORTHY AIRCRAFT Flap track had not evidence of lubrication. Right tire did not have any visible tread remaining. The number 2 propeller had deep nicks that had not been filed out. The #2 engine had a fuel leak of one drop per minute from the low point. Fuel dripping on tire.

Resolution Summary 4/4/04 Issued an aircraft condition notice to the owner.

7) Since all of these findings pertain to a single issue – *the aircraft was unairworthy* – the contents of the Memo field should be cut and inserted into a single Safety Issue Report in the "Actual Finding" field. [Memo now empty.]

8) All steps taken to accomplish resolution should be summarized chronologically in the "Resolution Summary" field.

3.14.8 COMMON MISTAKE: FAILURE TO OPEN SAFETY ISSUE

1) Inspector has a conversation with someone.

2) During that conversation, the person makes an allegation that an unauthorized operator is conducting flight operations for commercial air transport.

3) The inspector enters a CAA Action Record to have a record of conversation.

4) Inspector fails to select Action Taken as ***F=Followup Required***.

5) Inspector issues a Warning Notice to George Novak.

6) Then inspector incorrectly saves that CAA Action record with the Memo completed as follows—

Memo Telcon with Robert Conrad. He states that George Novak of Aero Advisor is conducting commercial air transport operations without an AOC. He gave me dates and passengers. A quick ramp inspection found that this allegation was true. Mr. Novak stated that he was unaware an AOC was required for his type of operation. Issued Warning Notice to Mr. Novak.

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- **WRONG!** This inspector has just made a critical mistake.
- He included a safety issue and its resolution as a Memo.
- With no Follow-up in Action Taken, the issue disappears into the database.

7) The inspector should have placed notes in the Memo field. In this case, the notes contain alleged issues. It would be acceptable to include some of the issue – provided that a more comprehensive safety issue report was initiated to accompany the CAA Action file.

Memo Telcon with Robert Conrad. He states that George Novak of Aero Advisor is conducting commercial air transport operations without an AOC. He gave me dates and passengers. Opened a safety issue.

8) In this case, a Safety Issue Report should be OPENED;

Safety Issues 0 Add

9) At least half of the previous memo should be moved to the "Actual Finding" field because the words are not just a Memo – they are supporting information for a safety issue—

Actual Finding * ILLEGAL AIR OPERATOR. Allegation was made that George Novak of Aero Advisor is conducting commercial air transport operations without an AOC. He gave me dates and passengers. He stated that Mr Novak was departing with passenger on the following day.

10) All resolution actions should be summarized in the "Resolution Summary" as follows---

Resolution Summary
4/5/04 Ramp inspection of George Novak
4/5/04 Discussion with George Novak. He stated that he was unaware that an Aov was required for his type of operation.
4/5/04 Issued Warning Notice to Mr. Novak.

- Rule 1: Memos should only be notes from the inspector to himself.
- Rule 2: If issues are identified, open Safety Issue Reports to track those issues to resolution.

3.15 VIEWING AND EDITING CAA ACTION RECORDS

A. The purpose of this section is to discuss Viewing capabilities of the database.

- The CAA Action software provides excellent VIEW capabilities.
- Those VIEW capabilities include the ability to drill-down search by topic or word.

B. The user may VIEW all records in the database during a search.

The inspector user is normally only allowed to EDIT his own records.

3.15.1 ENTERING THE NORMAL VIEW SCREEN

A. Normally the VIEWING of CAA Action records will begin on the Home Page, using the View button.

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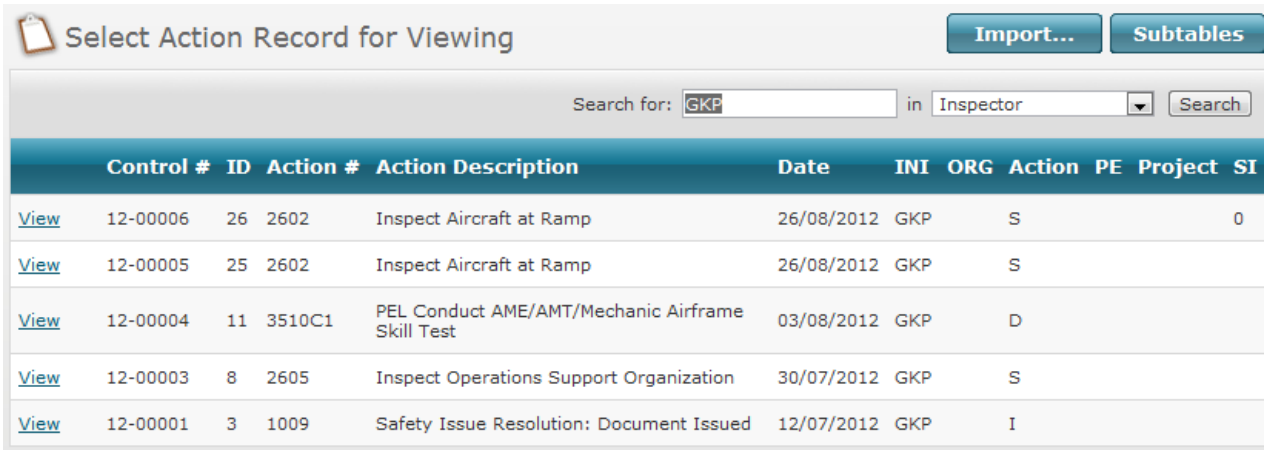
This will bring up the VIEW screen defaulted to contain all CAA Action records defaulted to the logged-in user ascending order with the last record entered located on the top line.



	Control #	ID	Action #	Action Description	Date	INI	ORG	Action	PE	Project	SI
View	12-00006	26	2602	Inspect Aircraft at Ramp	26/08/2012	GKP		S			0
View	12-00005	25	2602	Inspect Aircraft at Ramp	26/08/2012	GKP		S			
View	12-00004	11	3510C1	PEL Conduct AME/AMT/Mechanic Airframe Skill Test	03/08/2012	GKP		D			
View	12-00003	8	2605	Inspect Operations Support Organization	30/07/2012	GKP		S			
View	12-00001	3	1009	Safety Issue Resolution: Document Issued	12/07/2012	GKP		I			

- If the users want to see ALL records, they should clear their initials from the "Search for" field, then select ***Search***. This action will bring up all Action records for a global search.
- If the users want to see more records on a page than is provided by the default (100), it will be necessary to go to the Home Page, select "Preferences" (on the Top Bar) and select the radial button adjacent to their preferred View number of records.

3.15.2 RE-SORTING THE COLUMNS

A. The VIEW columns will appear with the first set of records to view.

Control #	ID	Action #	Action Description	Date	INI	ORG	Action	PE	Project	SI
12-00004	11	3510C1	PEL Conduct AME/AMT/Mechanic Airframe Skill Test	03/08/2012	GKP		D			

B. The user may now click on the top of a specific column to re-sort the records displayed in that column column.

- For example, clicking on the date column will arrange the displayed CAA Action records according to date, either ascending or descending.
- Clicking a second time will reverse the records. (If, on the first click, the dates were in descending order, clicking on the column will reverse the order to descending.)

C. This ascending/descending arrangement will apply to all columns depending on the content of the column.

D. For example, the contents of the PE (Planned Events) field will normally be the letter R (Required Inspection), M (Minimum Certification Event) or a blank space.

1) Clicking on the PE will result in these contents being placed in the three groups, either ascending or descending.

2) Clicking a second time will reverse the order.

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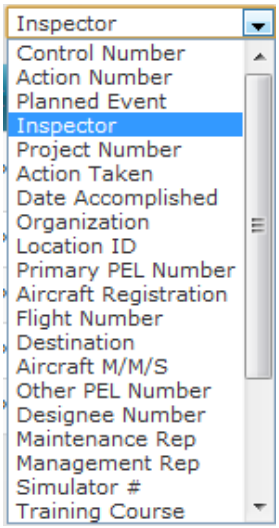
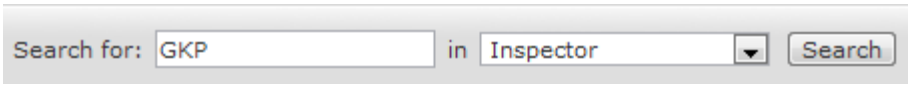
3.15.3 CONDUCTING A SEARCH



A. The real hidden secret is the ability to search those records using the SEARCH function.

B. For example, the user could use the drop-down menu to select a field, such as Inspector.

C. Then enter the initials of a particular inspector and select SEARCH.

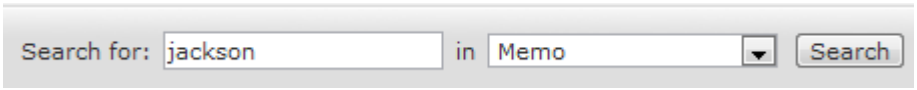


D. The VIEW screen would now show all of the CAA Action records for that inspector.

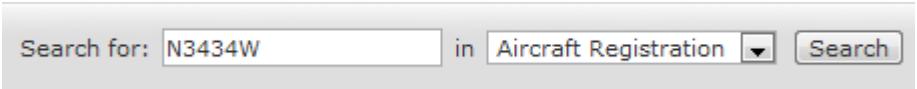
3.15.4 DRILL-DOWN SEARCH CAPABILITY

A. This SEARCH capability also gives the user the ability to DRILL-DOWN in a search to very specific information.

B. For example, if the user would like to view all of his MEMO records containing the name "Jackson" it is just a matter of setting up the search.



C. If the user would like to see only his records for a particular aircraft registration number, enter that registration number in the field and select "Search."



D. This capability makes it easy to sort through the large volume of records that are generated in the CAA Action data – to reach very specific details.

3.15.5 VIEWING THOSE RECORDS

A. The CAA Action software will allow the user to VIEW all of the records.

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B. By selecting the word "View" in the left column of the VIEW SCREEN, the user can view the entire record selected.

	Control #	ID	Action #	Action Description	Date
View	12-00004	11	3510C1	PEL Conduct AME/AMT/Mechanic Airframe Skill Test	03/08/2012
View	12-00001	3	1009	Safety Issue Resolution: Document Issued	12/07/2012

C. This action will cause the VIEW page to appear. From here the user can View the contents and then go Back to the Home Page - or elect to ***Print*** or ***Edit***.

3.15.6 PRINTING THE VIEW PAGE

A. The VIEW page is intended to be the official copy for printing.

B. Selecting the ***Print*** link in the top right corner of the View page will bring up the usual print dialogue box for your printer.

C. Make your normal selections and click OK. The document will be sent to your printer.

3.15.7 EDITING THE RECORD

The selection of the ***Edit*** link will recall that record from the database for edit purposes.

> The EDIT link will not appear on the VIEW page when a user is viewing a record that was entered by another user.

3.16 SELECTING "ADMINISTRATION" ACTION NUMBERS

3.16.1 INSPECTOR PLANNING ACTION NUMBER [1000]

There are times when an inspector would like to reserve consecutive series of records file for a specific purpose. On those occasions, the inspector is authorized to use the Action number 1000 for that purpose.

- The inspector should also ensure that the ACTION TAKEN field for these reserved records have a "P" to indicate that they are planned.
- It is the inspector's responsibility to ensure that these reserved records are ultimately used during a fiscal year.

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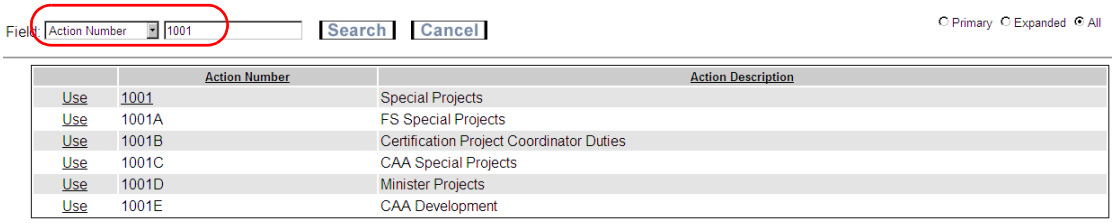
3.16.2 SPECIAL PROJECT ACTION NUMBERS [1001]

It sometimes seems that inspectors are assigned to too many special projects - this is the inspectors method for recording that workload.

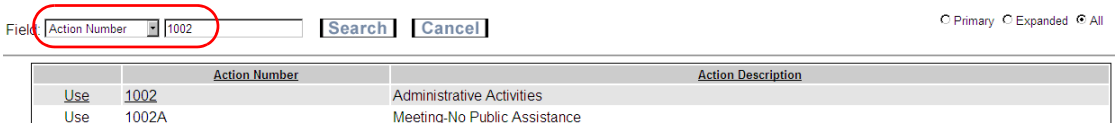


	Action Number	Action Description
Use	1001	Special Projects
Use	1001A	FS Special Projects
Use	1001B	Certification Project Coordinator Duties
Use	1001C	CAA Special Projects
Use	1001D	Minister Projects
Use	1001E	CAA Development

- The number 1001 is assigned to the generic subject of “Special Projects.” This number may be used when the inspector is not sure of how to further define the project.
- 1001A - further defines the project as one specifically within the Inspectorate. Examples include research of the files to determine the number of records which might show a trend within a grouping of operators.
- 1001B – defines the project as being the coordinator for a certification. It can be any formal certification process where the inspector is assigned the responsibility for CPC duties. Every day that this assigned CPC conducts any function related to the certification, he may log this activity.
- 1001C – further defines the project as one specifically on behalf of the CAA Director, but not related to the Inspectorate projects. Examples include the work on a staff paper on the advantages of having additional inspectors for the CAA Director’s signature.
- 1001D – further defines the project as one specifically assigned by the Minister to the Inspectorate. Examples include the Minister assigning the Inspectorate to go to develop a staff paper on the safety of the airspace around the national airport.
- 1001E – further defines the project as one that enhances the CAA. Examples include the development of manual policy and procedure guidance for inspectors.

3.16.3 ADMINISTRATIVE ACTIVITIES NUMBER [1002]

Inspectors who become proficient at making CAA Action records will use this number for those days when it seems like they are having to do purely administrative activities such as attending a staff meeting.



	Action Number	Action Description
Use	1002	Administrative Activities
Use	1002A	Meeting-No Public Assistance
Use	1002B	Phone Call-No Public Assistance
Use	1002C	Correspondence-No Public Assist
Use	1002D	Miscellaneous - No Public Assistance

3.16.4 PUBLIC ASSISTANCE NUMBERS [1003]

A. This is probably the most important Action number to memorize and use correctly. Throughout every working day, inspectors are providing technical assistance to the public. This is the most common of all of the administrative tasks.

B. This is the best method for officially keeping inspector notes about their discussions with the public. It provides for the “when, where, who and what” these discussions were about.

C. These notes are considered “Evidence For...” the Inspectorate regarding what was actually said to members of the public. They are usually treated in judicial proceedings as the final word on what was said in a meeting or conversation.

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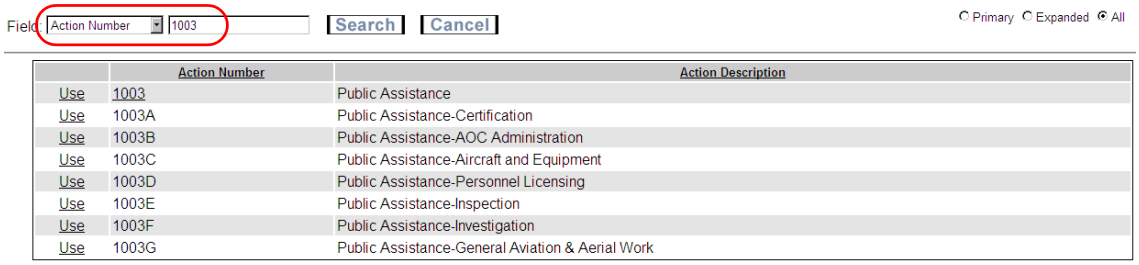
D. Using the generic 1003 is acceptable when in a hurry. But it is always more professional to differentiate between the types of public assistance provided. The use of the specific sub-numbers in this grouping allows the inspector to have less specific background notes because the general subject is described in the number description.



	Action Number	Action Description
Use	1003	Public Assistance
Use	1003A	Public Assistance-Certification
Use	1003B	Public Assistance-AOC Administration
Use	1003C	Public Assistance-Aircraft and Equipment
Use	1003D	Public Assistance-Personnel Licensing
Use	1003E	Public Assistance-Inspection
Use	1003F	Public Assistance-Investigation
Use	1003G	Public Assistance-General Aviation & Aerial Work

- 1003 – this root number indicates that a discussion, telephone conversation or letter has been provided to a person from the public regarding a general subject.

This concept is repeated in the following descriptions for emphasis.

- 1003A – further defines the content of the discussion, telecon or letter to the broad area of certification of an Air Operator, Approved Maintenance Organization, Aerial Work Operator, etc.;
- 1003B – further defines the content of the discussion, telecon or letter to the daily tasks of responding to a certificate holder's on-going operations (after the certification is complete).
- 1003C – further defines the content of the discussion, telecon or letter to aircraft- and aircraft equipment-specific subjects.
- 1003D – further defines the content of the discussion, telecon or letter to be related to the licensing of personnel.
- 1003E – further defines the content of the discussion, telecon or letter to be related to the inspections conducted by the Inspectorate.
- 1003F – further defines the content of the discussion, telecon or letter to be related to investigations conducted by the Inspectorate.
- 1003G – further defines the content of the discussion, telecon or letter to be related to general aviation and aerial work issues.

3.16.5 INTERNAL SUPPORT NUMBERS [1004]

A. These numbers are used when you are assisting other inspectors in a task. For example, you would use these numbers when you have assisted the primary inspector in accomplishing a task.

	Action Number	Action Description
View	1004	Assist Other CAA Inspector
View	1004A	Assist Other Inspector with Certification
View	1004B	Assist Other Inspector with AOC Action
View	1004C	Assist Other Inspector with Aircraft/Equip Action
View	1004D	Assist Other Inspector with PEL Action
View	1004E	Assist Other Inspector with Inspection
View	1004F	Assist Other Inspector with Investigation

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B. If you participate in an activity or evaluation in support of the primary inspector, that inspector should use the primary Action number for the task. You should file a "internal support" record number.

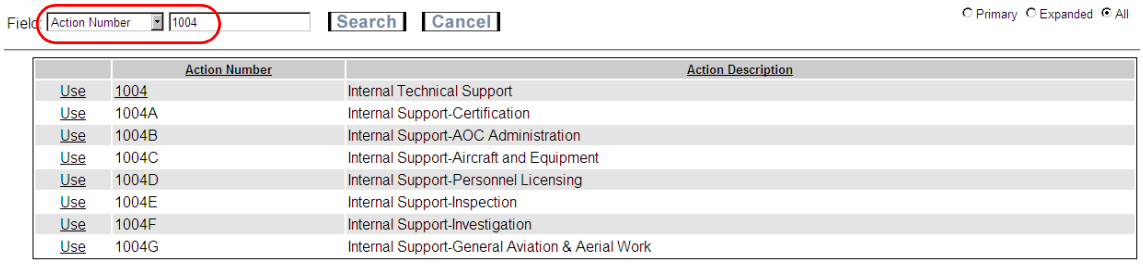
C. It would be confusing if two inspectors filed separate inspection Action numbers for the same inspection. It is better that one inspector take credit for the inspection. The other supporting inspector(s) should file a internal support CAA Action record.

D. This is also true of the safety issues that are found during the activity, inspection or evaluation. The primary inspector should provide all issue findings in the primary report regardless of which inspector made the actual finding.

> The numbers should be used for the same broad subject areas described for the public assistance numbers.

3.16.6 COORDINATION NUMBERS [1005]

The coordination numbers are used when dealing with government agencies (local and foreign) not a part of the Inspectorate. There is also a provision (1005C) for coordination with the aviation industry groups.


Field: Action Number 1004 [Search] [Cancel] Primary Expanded All

	Action Number	Action Description
Use	1004	Internal Technical Support
Use	1004A	Internal Support-Certification
Use	1004B	Internal Support-AOC Administration
Use	1004C	Internal Support-Aircraft and Equipment
Use	1004D	Internal Support-Personnel Licensing
Use	1004E	Internal Support-Inspection
Use	1004F	Internal Support-Investigation
Use	1004G	Internal Support-General Aviation & Aerial Work

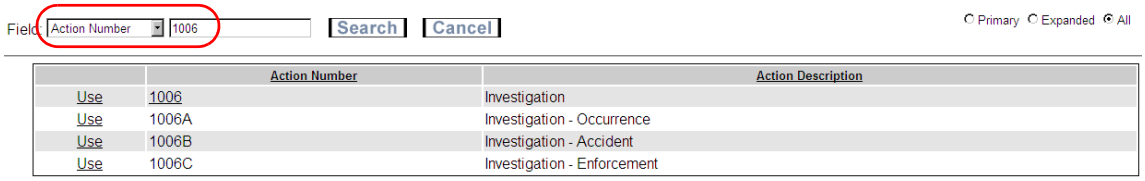
3.16.7 REVIEW TECHNICAL DOCUMENT NUMBERS [1006]

A. Inspectors spend a significant amount of time—

1) Working through the internal coordination of documents generated by the public and government; and

2) Reviewing technical documents to stay abreast of industry safety practices and industry news.

B. These numbers are provided to account for the time spent focused on those types of activities.


Field: Action Number 1006 [Search] [Cancel] Primary Expanded All

	Action Number	Action Description
Use	1006	Investigation
Use	1006A	Investigation - Occurrence
Use	1006B	Investigation - Accident
Use	1006C	Investigation - Enforcement

3.16.8 CASORT-FOCUSED ACTIVITIES [1016]

A. Inspectors may also spend a significant amount of time focused on entering/updating information in the CASORT database or developing reports from the data for use in presentations.

> - These numbers are for use when the user is entering records not directly associated with an evaluation, inspection or investigation task they are accomplishing.
> - In those cases, it assumed that the user will have to make a CAA Action record of the specific task.

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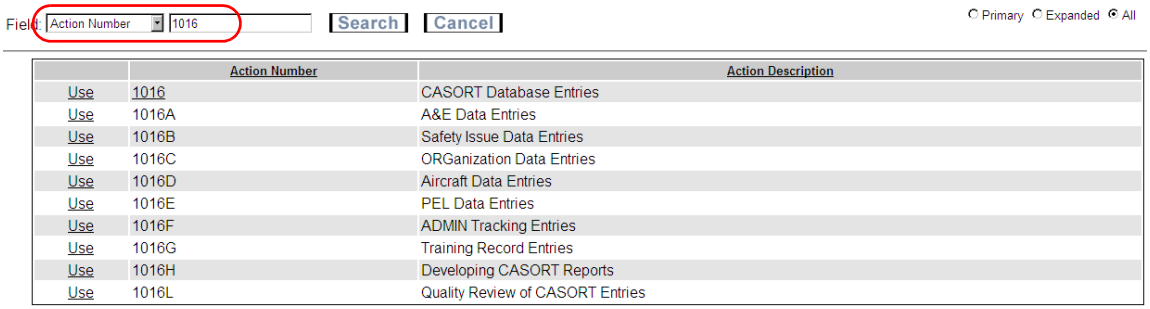
B. The following numbers are provided for those times when a focused period of time of more than one hour is spent just entering or updating the information in CASORT.



	Action Number	Action Description
Use	1016	CASORT Database Entries
Use	1016A	A&E Data Entries
Use	1016B	Safety Issue Data Entries
Use	1016C	ORGanization Data Entries
Use	1016D	Aircraft Data Entries
Use	1016E	PEL Data Entries
Use	1016F	ADMIN Tracking Entries
Use	1016G	Training Record Entries
Use	1016H	Developing CASORT Reports
Use	1016L	Quality Review of CASORT Entries

3.16.9 DO NOT USE "ADMIN" NUMBERS CARELESSLY

The key entries that the CAA should have in their database are those that specifically address—

1) Evaluations;
2) Inspections;
3) Investigations;
4) Safety Issues; and
5) Certifications.

- Do not use an "Administrative" Action number – in lieu of using a number that specifically describes the action conducted.
- Make sure that the Action number you select best describes the action.
- Take the time to properly describe (by Action number) the activities you accomplish.

3.16.10 SUMMARY: USE ADMINISTRATION ACTION NUMBERS ROUTINELY

A. The "Administration" Action numbers record much of the day-to-day work of the inspectors. They are critical to the credibility of the Inspectorate.

These numbers are the "tendons and cartilage" of the database records. They fill in the spaces between the critical activities. They also demonstrate that the CAA work is on-going.

B. Without these records in the database, large portions of the Inspectorate's work goes on UNRECORDED and UNRECOGNIZED.

C. Without these records in the database, inspectors would be forced to rely on their personal notes to reconstruct the events surrounding day-to-day situations involving the public and other government agencies.

Without these records in the database, management has no record to fall back on when confronted by situations where the public makes allegations regarding their discussions with inspectors.

End of Chapter

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Chapter 4
CAA Action Entries by Category

This chapter provides the specific guidance for completion of CAA Action records by technical inspectors.

Before beginning this chapter, the user should be familiar with the concepts outlined in Chapter 3.

4.1 STANDARD TERMS FOR CAA ACTION INSPECTOR ENTRY

A. The purpose of this section is to discuss the general policies that determine the types of CAA Action database entries that will be made by technical inspectors.

B. The guidance in this Section applies to all selections of Action numbers.

4.1.1 STANDARDIZED USE OF TERMS

The following terms and their application are defined in this section and should be applied to all inspector actions—

1) Conformance
2) Evaluation
3) Inspection
4) Investigation
5) Certification
6) safety concern

- It is very important that the Inspectorate have a standard terminology regarding this critical terms.
- When an inspector uses these terms, other inspectors and the operators should interpret the term as defined here.

4.1.2 AUDIT FOR CONFORMANCE

Conformance is defined as “an action taken by an inspector that COMPARES the manual, procedures, program, system, aircraft or an individual’s performance TO THE ESTABLISHED STANDARD.”

- Conformance Example 1: Comparing a pilot’s performance for conformance to the minimum established standards for the issuance of the license.
- Conformance Example 2: Comparing the contents of the aircraft technical log for conformance with the CAA mandated minimum contents for such a log.
- Conformance Example 3: Comparing the contents of an aircraft Minimum Equipment List for conformance with the minimum required contents of the Minimum Equipment List.
- Conformance Example 4: Comparing the contents of the aircraft maintenance program (schedule) for conformance with the manufacturer’s MRB document.
- Conformance Example 5: Walking across the ramp where servicing, fueling and loading actions are occurring and mentally comparing for conformance with the published standards.

As an inspector goes through the workday, he is continuously auditing for conformance in his conversations with the aviation public, on his walks across the ramp, when he visits facilities, etc.

- Conformance assessments become a way of life for the good inspector.
- Making the technical decision and recording it.
- If a safety concern is identified follow guidance in Chapter 7.

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- Conformance Example 6: Seeing maintenance being performed on the ramp and stopping to compare the work methodology for conformance with the published standards.
- Conformance Example 7: Listening to conversations at a party about someone's flying exploits and mentally comparing them for conformance to the published regulations.

4.1.3 PRIMARY INSPECTOR AUDITING CATEGORIES

A. There are 3 primary categories that can be used to describe the auditing functions performed by an inspector--

1) Evaluations;

2) Inspections; and

3) Investigations

B. The CAA Action database has been set up to record the results and technical decision of the inspector depending on the audit category. (Subsequent examples will illustrate this function.)

4.1.4 EVALUATIONS

The term, *evaluation*, is used to describe an inspector action taken *before* the document, procedure, system, aircraft or airmen is *approved for use* in aviation operations.

An "evaluation" is an act of auditing for conformance with a published standard before approval.

- Evaluation Example 1: Auditing a proposed aircraft operating checklist before approving it for use by an air carrier for the conduct of flight operations.

The list of evaluations in the Action numbers for each technical specialty is more than 4 times longer than the inspection numbers.

- Evaluation Example 2: Auditing a proposed maintenance program (schedule) before approving it as the air carrier timetable for completing maintenance checks.
- Evaluation Example 3: Auditing a proposed aircraft operations manual before authorizing it for use by the air carrier's flight crew members.
- Evaluation Example 4: Auditing the performance of a pilot during a flight check before issuance of the license or rating.

Evaluations are a key process of certification and – *for the purposes of selecting Action numbers* – are only accomplished before issuance of an authorization, approval, license, or certificate.

- Evaluation Example 5: Auditing the aircraft to determine that it meets the minimum requirements for flight operations in the category of the airworthiness certificate to be issued.

4.1.5 INSPECTIONS

The term, *inspection*, is used to describe a specific inspector action when evaluating a document, record, procedure, individual or system that is *currently approved for use* in aviation.

An "inspection" is an act of auditing for conformance with a published standard after approval.

- Inspection Example 1: Auditing an aircraft operating checklist currently being used by an air carrier for the conduct of flight operations.
- Inspection Example 2: Auditing a maintenance program (schedule) currently being used by an air carrier for maintaining an aircraft.
- Inspection Example 3: Auditing an aircraft operations manual currently being used by the air carrier's flight crew members.

- Inspections are primarily accomplished on an on-going basis after approval has been issued.
- Inspections are, however, a key part of the latter stages of a certification process to confirm that the individual or organization is able to comply with an approval.

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- Inspection Example 4: Auditing the performance of a licensed pilot during a re-examination flight check after an accident.
- Inspection Example 5: Auditing the aircraft after a flight operation to determine if it met the minimum requirements for flight operations for that flight operation.
- Inspection Example 6: Auditing the crew's performance on a revenue flight to determine that they are conforming to the air carrier's procedures.

4.1.6 INVESTIGATIONS

A. The term, *investigation*, is used to describe the overall process of inspector actions when following up on a reported complaint, incident, accident or enforcement case.

> An "investigation" usually involves an individual or organization that is currently approved for and is operating in aviation.

B. Depending on its complexity, an investigation may include both evaluations and inspections.

C. An investigation usually involves a series of actions conducted over a period of time.

4.1.7 CERTIFICATION

A. The term, *certification*, is used to describe the overall process of inspector actions to approve, license, or certificate an individual, document, procedure, record or organization.

> A "certification" usually involves a document, individual, aircraft or organization that is NOT YET APPROVED for operations in aviation.

B. Depending on its complexity, a certification may include both evaluations and inspections.

- For example, a certification for an original air operator certificate will include a complex series of evaluations to approve the documentation and other arrangements, followed by a battery of inspections before the AOC holder is approved for operations in aviation.
- But the "certification" actions associated with a single revision of a Minimum Equipment List will probably consist only of evaluations conducted by each of the inspector technical specialties prior to approval for use in aviation.

C. A certification usually involves a series of actions conducted over a period of time.

4.1.8 SAFETY CONCERN

A. The term, *safety concern*, is used to describe a finding or observation made by an inspector as a result of almost any activity (except "evaluation").

> By definition, there is NO safety concern if the document, record, procedure, individual or system being evaluated is not CURRENTLY BEING USED in aviation.

B. Safety concerns can result from inspections, investigations, and other contact with the aviation public.

C. But safety concerns are not generally associated with evaluations or certifications accomplished by the technical inspector.

D. Examples of safety concerns primarily focus on the technical inspector's assessment that an individual or organization has failed, either inadvertently or by decision, to—

- Conform to aviation law, regulations and directives issued by the CAA;
- Conform to relevant industry safety practices; or
- Maintain the required fitness to hold a certificate or license.

E. The Inspectorate will then pursue resolution of those identified safety concerns. The priority of that resolution process will be directly associated with the assessed impact to public safety.

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4.2 ENTERING INSPECTION EVENTS

The purpose of this Section is to provide general guidelines applying to the entering of inspection events regardless of the user's technical specialty.

> Only users with technical qualifications for inspections are authorized this type of data entry.

4.2.1 KEY GUIDELINES

An inspection is accomplished on an individual, aircraft or organization that is already authorized to operate in aviation.

4.2.1.1 CAA Action Record Completion

A. Once an inspection is started, a CAA Action record must be completed showing that the inspection was ***S=Satisfactory*** or ***F=Finding***. No inspection will ever be shown as "deferred" or "in-work."

B. An inspection may be terminated early for any reason, but a CAA Action record must still be made stating the findings for even a partial inspection.

C. If an inspection takes several days, a separate inspection record will be made for each day *showing the findings for that day only.*

D. It is permissible to connect these inspection records using the Inspector Use field for later reference.

4.2.1.2 Multiple Inspectors

A. If more than one inspector is involved in the inspection, only one will complete a specific inspection record.

B. All others involved in that specific inspection will use the Action Number ***1004E = Assist another inspector with Inspection*** to record their participation.

C. The only time when more than one inspector in a group of inspectors at the site may enter a separate CAA Action inspection record is when each inspector is conducting a separate (by Action number) inspection.

4.2.2 INSPECTION ACTION ENTRY BASICS

A. Inspectors will normally enter the inspection Action numbers by memory or reference to technical guidance that recommends specific numbers.

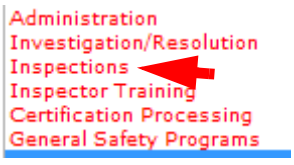
B. If the inspector does not know the Action Number (by memory or reference to technical guidance, it will be necessary to—

1) Click on ***Enter*** on the CAA Actions bar on the Home Page;

2) Click on the drop-down arrow in the right corner of the blank Action Number field;

3) This action displays the 1st-level selection list shown at the right. Select ***Inspections;***

4) This action will display the 2nd-level level selection list of "primary" (or "root") numbers which are underlined to indicate there are other, more specific action numbers and descriptions under this "root" number..



- If the user wants to view the "expanded-secondary" numbers it will be necessary to select the radial button.

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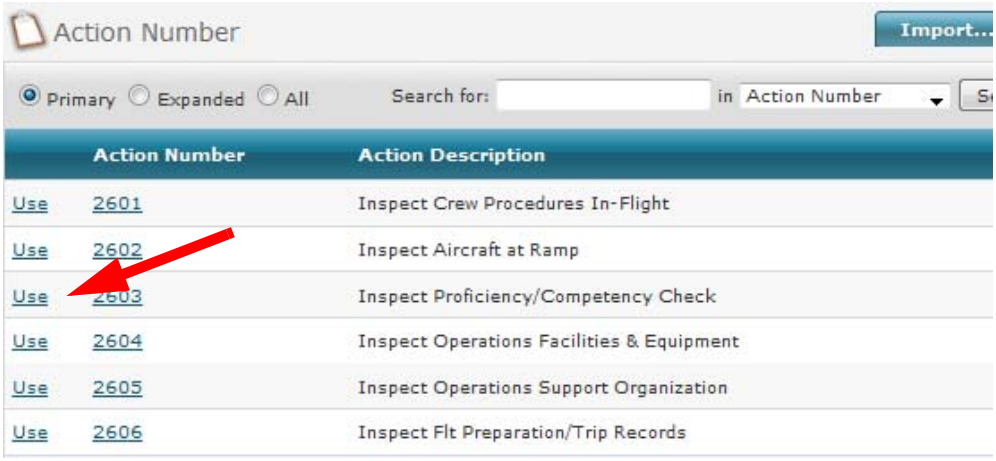
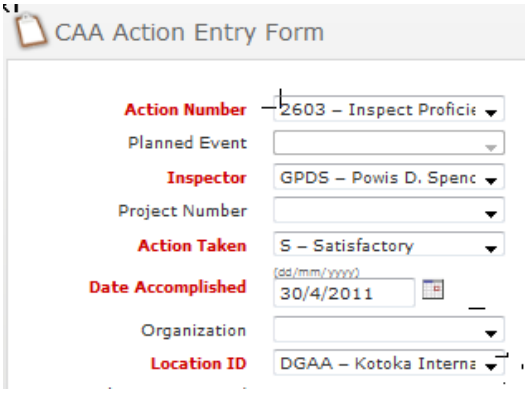
- The user should locate the Action number and description that applies. Then select from the left ACTION column, the word "USE" from that row.



5) That selection will fill in the—
   - Action Number field, and
   - Default "Satisfactory" in the Action Taken field.

6) Assuming that the inspector intended to make a "satisfactory" record, the inspector should determine which other fields should be completed to finalize the record before leaving the record.



4.2.3 DEFAULT FIELD REVISIONS

A. **Action Taken.** If the action taken for this event is other than the default (***S=Satisfactory)***, select from the drop-down menu.

B. **Date Accomplished.** If the event did not occur on the date of data entry, it will be necessary to insert the correct date.

C. **Location ID.** If the event did not occur at the default location, it will be necessary to use the drop-down menu to insert the correct location.

4.2.4 FIELDS CRITICAL TO INSPECTIONS

A. **Organization.** The Organization identifier will already have been entered for an MRAI or MCE. For all other records, if the organization has been certificated by the Authority, it will be listed in this drop-down menu and should be selected. This is very important for the computer records tracking and sorting capability of CASORT.

B. **Primary PEL Number.** An entry will be made in this field when the primary individual associated with the CAA Action is a PEL license holder (e.g., individual being tested, accomplishing maintenance, instructing class, etc.).

C. **Registration Number.** An entry will be made in this field for all inspections involving a specific aircraft.

D. **Aircraft MMS.** An entry will be made in this field for all inspections involving a specific aircraft.

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E. **Simulator Number.** An entry will be made in this field if the inspection involved the simulator or training device, either as the primary focus of the inspection or associated with the particular inspection process.

F. **Safety Concern(s).** If the inspector identified one or more safety concerns during this inspection, it will be necessary to—

1) Change the ACTION TAKEN to ***F=Finding***;

2) Open a safety concern record(s) attached to this inspection record.

Do not use the Safety Concern database for corrective actions relating to no-risk administrative details.

G. **Project Number.** Normally the project number will have already been entered by the Data Quality Coordinator if the inspection is considered part of a certification or focused inspection process.

The inspector will be required to personally enter the project number if this record should be connected to other records associated with a grouping of events, such as a special inspection of an operator or a certification effort

4.2.5 COMPLETION OF OTHER FIELDS

A. **Flight Number.** An entry should be made in this field for enroute inspections and, where possible, for ramp inspections.

B. **Destination.** An entry is normally only entered in this field for enroute inspections.

C. **Other PEL Number.** An entry will be made in this field when it is necessary to identify the other crew member for the record, such as event involving this particular crew member.

D. **Designee Number.** An entry will be made in this field if the inspection involved a Designee, either as the primary focus of the inspection or associated with the particular inspection process.

E. **Maintenance Rep.** When a Maintenance Representative was available during the inspection or a debriefing of the findings, it is important to include the name in the record.

F. **Management Rep.** When a Management Representative was available during the inspection or a debriefing of the findings, it is important to include the name in the record.

G. **Other Entity.** This field should be used when the organization or individual being inspected is not certificated. This allows for a quick word search of the files for specific names.

H. **Tracking Number.** This field should only be used when the inspection is associated with a project that has a tracking number

I. **Inspector Use Number.** This field may be used by the inspector to consolidate (connect) records for an reporting purposes.

J. **Memo.** Any information entered in this field should only include the general information regarding the inspection, such as time, persons involved, etc.

- Do not include any comments in Memo that identify a safety concern.
- Do not include any comments in Memo regarding resolution of a safety concern.

K. **Admin Tracking.** If the inspector identified an administrative issue (incomplete CAA paperwork, etc.) while conducting the inspection that needs to be tracked to completion, use this database for that purpose.

Do not use the Admin Tracking for Safety concern resolution.

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4.3 ENTERING EVALUATION EVENTS

The purpose of this Section is to provide general guidelines applying to the entering of evaluation events regardless of the user's technical specialty.

> Only users with technical qualifications for evaluations are authorized this type of data entry.

4.3.1 DEFINITION: EVALUATION

An evaluation is accomplished on an individual, manual, aircraft or organization *that has not yet been authorized to operate in aviation*.

4.3.1.1 CAA Action Record Completion

A. Once an evaluation is started, the assigned inspector must ultimately complete a final CAA Action record showing the results of that evaluation (A or D).

B. If this evaluation is going to happen in less than three weeks it will not be necessary to connect the records.

C. During the course of that evaluation, a CAA Action record must be completed each day that the inspector does any work on that evaluation.

- The possible Action Taken results for an evaluation are ***I=In Work***; ***D=Disapproved/Returned*** or ***A=Approved/Accepted***.

4.3.1.2 Multiple Inspectors

A. If more than one inspector participates in the evaluation (such as the MEL), all inspectors must complete a CAA Action evaluation record for that action on each day they performed the work.

B. For high profile evaluations, such as an airline certification, each inspector is responsible for completing the Project Number field to ensure that the records are properly connected.

4.3.2 EVALUATION ENTRY BASICS

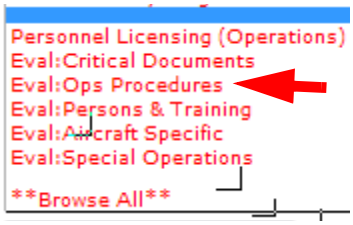
A. Inspectors will normally enter the Evaluation Action numbers by memory or reference to technical guidance that recommends specific numbers.

B. If the inspector does not know the Action Number (by memory or reference to technical guidance, it will be necessary to—

1) Click on ***Enter*** on the CAA Actions bar on the Home Page ;

2) Click on the drop-down arrow in the right corner of the blank Action Number field;

3) This action displays the 1st-level selection list shown at the right.



4) Select the general grouping of evaluations pertinent to the action task (example: Eval: Critical Documents - which contains manuals and forms evaluations);

5) This action will display the 2nd-level level selection list of "primary" (or "root") numbers which are underlined to indicate there are other, more specific action numbers and descriptions under this "root" number..

6) This action will display the second tier selection list of "primary" numbers. The

> If the user wants to view the "expanded-secondary" numbers it will be necessary to select that radial button.

user should locate the activity and number that applies. Then select from the left ACTION column, the word "USE" from that row.

	Action Number	Action Description
Use	4307	Eval Maintenance Program(s)
Use	4307A	Eval Aircraft Systems Maint Program(s)
Use	4307B	Eval Component/Equipment Maint Prog(s)

7) That selection will fill in the—
   - Action Number field, and
   - Default ***I=In Work*** in the Action Taken field.

8) Assuming that the inspector does not intend to finish the evaluation during this session, the inspector should make any necessary entries in the other fields before leaving the record.

4.3.3 DEFAULT FIELD REVISIONS

A. **Action Taken.** If the action taken for this event is other than the default (***I=In Work***), select from the drop-down menu.

B. **Date Accomplished.** If the event did not occur on the date of data entry, it will be necessary to insert the correct date.

C. **Location ID.** If the event did not occur at the default location, it will be necessary to use the drop-down menu to insert the correct location.

4.3.4 FIELDS CRITICAL TO EVALUATIONS

A. **Organization.** If the organization has been certificated by the Authority, it will be listed in this drop-down menu and should be selected.

> The Organization Identifier will already have been entered for an MCE record.

- This is very important for the computer records tracking and sorting capability of CASORT.

B. **Aircraft MMS.** An entry will be made in this field for all evaluations involving a specific fleet of aircraft or a conformity of an individual aircraft.

C. **Designee Number.** An entry will be made in this field if the evaluation involved a Designee, either as the primary focus of the evaluation.

D. **Project Number.** Normally the project number will have already been entered by the Data Quality Coordinator if the evaluation is an MCE (Minimum required certification event. The inspector will be required to personally enter the project number if this record should be connected to other records associated with a grouping of events, such as a supplemental certification effort.

E. **Inspector Use.** The investigating inspector may choose to "connect" his evaluation actions for a small evaluation process for future reporting by using this field.

4.3.5 COMPLETION OF OTHER FIELDS

A. **Primary PEL Number.** An entry will be made in this field when the primary individual associated with the CAA Action is a PEL license holder (e.g., individual being tested, accomplishing maintenance, instructing class, pilot-in-command, etc.).

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B. **Registration Number.** An entry will be made in this field for all conformity evaluations involving a specific aircraft.

C. **Maintenance Rep.** When a Maintenance Representative was involved in an evaluation or a debriefing of the findings, it is important to include the name in the record.

D. **Management Rep.** When a Management Representative was available during and evaluation or a debriefing of the findings, it is important to include the name in the record.

E. **Simulator Number.** An entry will be made in this field if the evaluation involved the simulator or training device as the primary focus of the evaluation.

F. **Tracking Number.** A management-assigned tracking number may be obtained and used for any external or internal evaluations.

G. **Memo.** Any information entered in this field should only include the general information regarding the evaluation, such as a statement that a list of corrections was provided to the company or person being evaluated.

- Do not include any comments in MEMO that identify a safety concern.
- Do not include any comments in MEMO regarding resolution of a safety concern.

H. **Safety Concern(s).** If the inspector identified one or more safety concerns during this evaluation, it will be necessary to open a separate investigation or resolution file rather than use this CAA Action evaluation record.

Normally evaluations do not generate safety concerns unless the inspector becomes aware of circumstances involving current authorizations which are being exercised.

4.4 ENTERING INVESTIGATION EVENTS

The purpose of this Section is to provide general guidelines that apply to the entering of investigation events regardless of the user's technical specialty.

4.4.1 KEY GUIDELINES

An investigation is accomplished on an individual, manual, aircraft or organization that may have been involved in an incident, accident or non-compliance with aviation regulations *regardless of their status with respect to authorized aviation operations.*

4.4.1.1 Investigation CAA Action Records

A. The Action record that initiates the investigation will have an Action Taken: ***F=Finding*** and a safety concern record will be attached outlining the purpose for originating the investigation.

B. Once an investigation is started, a close-out CAA Action record must be completed of that evaluation.

- The original Safety Concern record associated with the safety concern must have a completed Resolution/Mitigation field.

C. During the course of that investigation, a CAA Action record must be completed each day that the inspector does any work on that investigation.

D. These CAA Action records could be a mixture of administrative actions, evaluations, inspections, with a record for each activity.

- It is important to understand that an investigation may have only two Action files with an "investigation" action number (the first and last files) and the original Safety Concern.
- The Record ID of the first file becomes the Control Number that is used in the project or tracking field for all subsequent records in the investigation.
- The close-out file will show the investigation as ***C=Completed***
- The intervening CAA Action records could be taken from any other Action numbers as necessary to describe the actions and activities of the inspector during the investigation.

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E. The records for a high profile investigation should be connected by project number. Other investigations may be connected by a tracking number as determined by management.

4.4.1.2 Multiple Inspectors

A. If more than one inspector is involved in the same investigation, all inspectors must complete a CAA Action record for each activity of work.

B. It is permissible for a supporting inspector to defer to the assigned inspector and only complete a CAA Action record with the Action Number ***1004F = Assist Another Inspector with Investigation.***

4.4.2 INVESTIGATION ACTION ENTRY BASICS

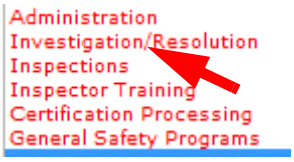
A. Inspectors will normally enter the Investigation Action numbers by memory or reference to technical guidance that recommends specific numbers.

B. If the inspector does not know the Action Number (by memory or reference to technical guidance, it will be necessary to—

1) Click on ***Enter*** on the CAA Actions bar on the Home Page;

2) Click on the drop-down arrow in the right corner of the blank Action Number field;

3) This action displays the 1st-level selection list shown at the right. Select ***Investigations;***

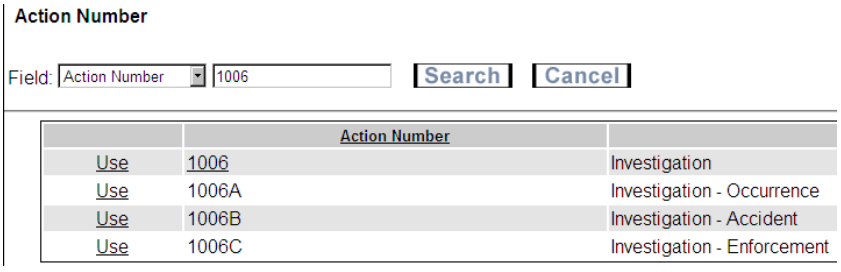


4) This action will display the 2nd-level level selection list of "primary" (or "root") numbers which are underlined to indicate there are other, more specific action numbers and descriptions under this "root" number..

5) This action will display the second tier selection list of "primary" numbers that have been set by the Data Quality Coordinator.

If the user wants to view the "expanded-secondary" numbers it will be necessary to select that radial button.

- The user should locate the activity and number that applies.
- Then select from the left ACTION column, the word "USE" from that row.



6) That selection will fill in the—

- Action Number field, and

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- Default ***I=In Work*** in the Action Taken field.

7) The inspector should make any necessary entries in the other fields before leaving the record.

4.4.3 DEFAULT FIELD REVISIONS

A. **Action Taken.** If the action taken for this event is other than the default, select from the drop-down menu.

B. **Date Accomplished.** If the event did not occur on the date of data entry, it will be necessary to insert the correct date.

C. **Location ID.** If the event did not occur at the default location, it will be necessary to use the drop-down menu to insert the correct location.

4.4.4 FIELDS CRITICAL TO INVESTIGATIONS

A. **Safety Concern(s).** A safety concern must be entered with the Action record that originates an investigation.

- This practice is necessary because an investigation is normally originated based on an "apparent" safety concern arising from an event or report.
- This ensures the presence of pro-active records of safety oversight relating to incidents and other events that come to the attention of the CAA.
- The CAA policy should require that investigations begin from identified, reported or apparent safety concerns.

There should be no exceptions to the policy that a safety concern should be originated with the first record of an investigation.

The safety concern record can be modified as necessary to track the progress of the investigation in the resolution/mitigation field.

- It is better to have the records demonstrating investigation of all such events and reports, even when most are cancelled for lack of proof...
- ...than to NOT HAVE A RECORD for the one investigation that proves later to be critical.

B. Organization. For all investigation records, if the organization has been certificated by the Authority it will be listed in this drop-down menu and should be selected.

- This is very important for the computer records tracking and sorting capability of CASORT.

C. **Primary PEL Number.** An entry will be made in this field when the primary individual that is a focus of the investigation is a PEL license holder.

4.4.5 COMPLETION OF OTHER FIELDS

A. **Project Number.** A project number may be obtained and used for any high profile investigation.

B. **Registration Number.** An entry will be made in this field for all investigation actions involving a specific aircraft.

C. **Flight Number.** If the flight number of an event or incident is known, it should be included in the investigation Action record.

D. **Destination.** If the destination of a flight operation relating to the event or incident is known, it should be included in the investigation Action record.

E. **Aircraft MMS.** An entry will be made in this field for all investigations involving a specific fleet of aircraft or individual aircraft.

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F. **Other PEL Number.** An entry will be made in this field when investigating another crew member or the crew member is associated with the investigation.

G. **Designee Number.** An entry will be made in this field if the inspection involved a Designee, either as the primary focus of the inspection or associated with the particular inspection process.

H. **Maintenance Rep.** When a Maintenance Representative was available during the investigation or in discussions/debriefing of the findings, it is important to include the name in the record.

I. **Management Rep.** When a Management Representative was available during the investigation or in discussions/debriefing of the findings, it is important to include the name in the record.

J. **Simulator Number.** An entry will be made in this field if the inspection involved the simulator or training device, either as the primary focus of the investigation or associated with the particular investigation process.

K. **Tracking Number.** A tracking number may be obtained and used for any external or internal investigations.

L. **Inspector Use.** The investigating inspector may choose to "connect" his investigation actions for future reporting by using this field.

M. **Admin Tracking.** Where CAA administrative issues are identified during the investigation, they should be attached to the CAA Action record in which the admin issue was identified.

During the course of the resolution of the admin issue, the inspector must record the corrective action completed in the Admin Tracking database file.

N. **Memo.** Any information entered in this field should only include the general information regarding the evaluation, such as a statement that a list of corrections was provided to the company or person being investigated.

- Do not include any comments in MEMO that identify a safety concern.
- Do not include any comments in MEMO regarding resolution of a safety concern.

4.5 ENTERING PERSONNEL LICENSING EVENTS

The purpose of this Section is to provide general guidelines applying to the entering of personnel licensing events regardless of the user's technical specialty.

4.5.1 KEY GUIDELINES

A personnel licensing event is accomplished during the process of assessing an individual for the issuance of a license or added authority to a license.

4.5.1.1 Personnel Licensing Records

A. Once a personnel licensing process is started, a CAA Action record must be completed showing the results of that process.

B. The possible Action Taken results for an evaluation are ***I=In Work***; ***D=Disapproved/Returned; A=Approved/Accepted***.

C. ***F=Finding*** will only be used in situations where, during the course of the evaluation, it is discovered that there is a safety concern involving a currently certificated individual, aircraft, organization, manual, etc.

4.5.1.2 Multiple Persons Involved

A. All persons who conduct an activity during the process must complete a CAA Action record showing their ACTION TAKEN.

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B. It is permissible for a supporting inspector to defer to the assigned inspector and only complete a CAA Action record with the Action Number ***1004D = Assist Another Inspector with PEL Action.***

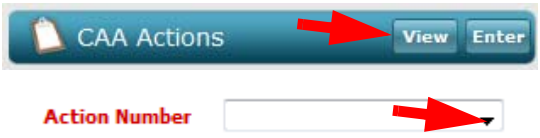
4.5.2 PERSONNEL LICENSING ENTRY BASICS

A. Inspectors will normally enter the Personnel Licensing Action numbers by memory or reference to technical guidance that recommends specific numbers.

B. If the inspector does not know the Action Number (by memory or reference to technical guidance, it will be necessary to—

1) Click on ***Enter*** on the CAA Actions bar on the Home Page ;

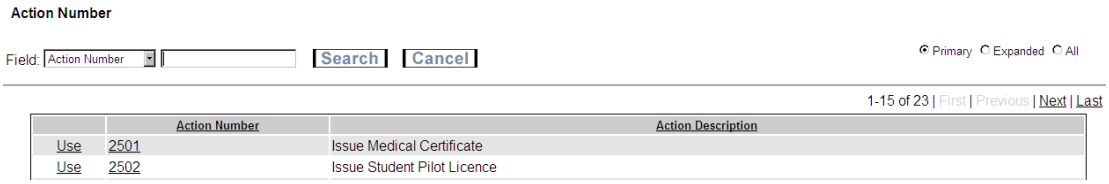
2) Click on the drop-down arrow in the right corner of the blank Action Number field;



3) This action displays the first tier selection list shown at the right. "Personnel Licensing" is usually located in the lower grouping above the choices for "Evaluations."

4) This action will display the second tier selection list of "primary" numbers. The user should locate the activity and number that applies. Then select from the left ACTION column, the word "USE" from that row.

If the user wants to view the "expanded-secondary" numbers it will be necessary to select that radial button.



5) That selection will fill in the—

- Action Number field, and
- Default ***I=In Work*** in the Action Taken field.

6) Assuming that the inspector does not intend to finish the personnel licensing event during this session, the inspector should make any necessary entries in the other fields before leaving the record.

4.5.3 DEFAULT FIELD REVISIONS

A. **Action Taken.** If the action taken for this event is other than the default, select from the drop-down menu.

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B. **Date Accomplished.** If the event did not occur on the date of data entry, it will be necessary to insert the correct date.

C. **Location ID.** If the event did not occur at the default location, it will be necessary to use the drop-down menu to insert the correct location.

4.5.4 FIELDS CRITICAL TO PERSONNEL LICENSING

A. **Primary PEL Number.** An entry will be made in this field when the primary individual associated with the PEL Action is an individual being seeking a license, rating, completing a required check or other PEL requirements.).

B. **Designee Number.** An entry will be made in this field when the Designee is conducting or observing the skill, proficiency or competency check.

C. **Organization.** An entry will be made in this field when the person that is the focus of this PEL action has completed a course of training provided by this organization or is employed or contracted to this organization.

D. **Aircraft MMS.** An entry will be made in this field if an aircraft or simulator was used for a particular event during the process.

E. **Simulator Number.** An entry will be made in this field if the simulator or training device was involved with the specific personnel licensing process.

4.5.5 COMPLETION OF OTHER FIELDS

A. **Registration Number.** An entry will be made in this field if a specific aircraft was used during the personnel licensing event.

B. **Flight Number.** An entry should be made in this field for line check qualifications.

C. **Destination.** An entry is normally only entered in this field for a line check qualification.

D. **Other PEL Number.** An entry will be made in this field when another crew member is associated with the personnel licensing event.

E. **Maintenance Rep.** When a Maintenance Representative was available during any personnel licensing event where the status of the simulator or aircraft was in question.

F. **Management Rep.** When a Management Representative was available during any personnel licensing event or a debriefing, it is important to include the name in the record.

G. **Memo.** Any information entered in this field should only include the general information regarding the PEL, such as a statement that a list of corrections was provided to the person being evaluated.

- Do not include any comments in MEMO that identify a safety concern.
- Do not include any comments in MEMO regarding resolution of a safety concern.

H. **Safety Concern(s).** If the inspector identified one or more safety concerns (such as the need for re-examination) during the personnel licensing process, a safety concern should be opened.

Normally personnel licensing events do not generate safety concerns unless the inspector becomes aware of circumstances involving current authorizations which are being exercised.

- If the safety concern is not directly related to the PEL event, a separate investigations or resolution record must be generated to open the safety concern in a venue separate from the PEL event.

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I. **Admin Tracking.** Where CAA administrative issues are identified during the licensing event, they should be attached to the CAA Action record in which the admin issue was identified.

During the course of the resolution of the admin issue, the inspector must record the corrective action completed in the Admin Tracking database file.

4.6 ENTERING RESOLUTION EVENTS

The purpose of this Section is to provide general guidelines applying to the entering of records to complete resolution of a specific safety concerns.

4.6.1 KEY GUIDELINES

A. Resolution of safety concerns is accomplished through an on-going effort and may involve a series of records.

B. Each event undertaken by the CAA employees to resolve a safety concern should be included in the resolution records.

4.6.1.1 Resolution CAA Action Records

A. The CAA employee is not required to enter a CAA Action record for on-going resolution of a safety concern as long as each event/action is entered into the Resolution/Mitigation Summary of the Safety Concern record.

.Each resolution event must be recorded in the specific safety concern form under "Resolution/Mitigation Summary" following the guidance provided in Chapter 7.

B. Once a safety concern resolution process has been completed, the CAA employee assigned to resolve the safety concern must also enter a CAA Action record.

The recommended "connecting" field is to insert the safety concern Number into the "Inspector Use" field.

C. All other CAA employees participating in the process will enter a CAA Action record for each resolution event.

- During the course of that resolution process, a CASORT record should be completed each day that the inspector does any activity toward that resolution.
- These CAA Action records could be a mixture of administrative actions, evaluations, inspections, public assistance, etc., with a record for each activity.

4.6.1.2 Multiple CAA Employees

If more than one CAA employee is involved in the same resolution process, each supporting inspector is required to complete a CAA Action record for each activity of work.

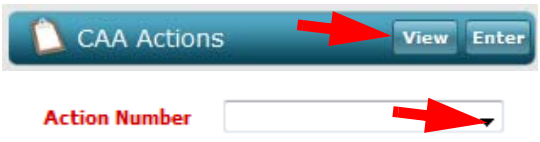
4.6.2 RESOLUTION ACTION ENTRY BASICS

A. Inspectors will normally enter the Resolution Action numbers by memory or reference to technical guidance that recommends specific numbers.

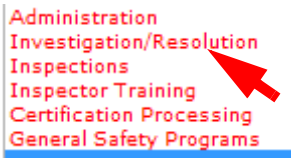
B. If the inspector does not know the Action Number (by memory or reference to technical guidance, it will be necessary to—

1) Click on ***Enter*** on the CAA Actions bar on the Home Page ;

2) Click on the drop-down arrow in the right corner of the blank Action Number field;



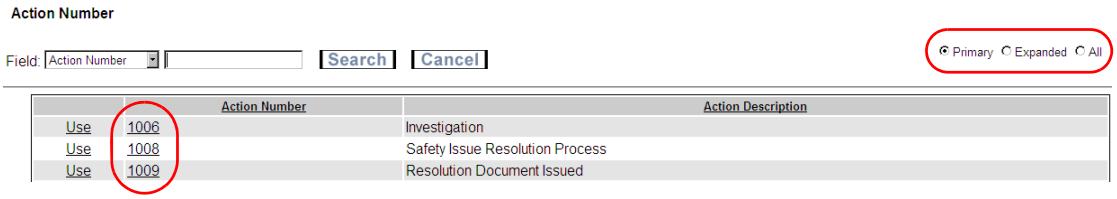
3) This action displays the 1st-level selection list shown at the right. Select ***Investigations/Resolution;***



4) This action will display the 2nd-level selection list of "primary" (or "root") numbers which are underlined to indicate there are other, more specific action numbers and descriptions under this "root" number.

5) This action will display the second tier selection list of "primary" numbers that have been set by the Data Quality Coordinator The user should locate the activity and number that applies. Then select from the left ACTION column, the word "USE" from that row.

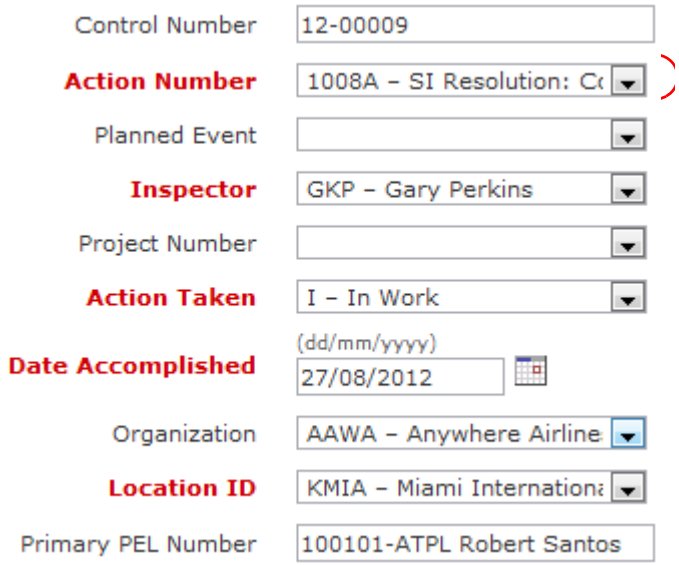
If the user wants to view the "expanded-secondary" numbers it will be necessary to select that radial button.



6) That selection will fill in the—

- Action Number field, and
- Default "I=In Work" in the Action Taken field.

7) The inspector should make any necessary entries in the other fields before leaving the record.



4.6.3 DEFAULT FIELD REVISIONS

A. **Action Taken.** If the action taken for this event is other than the default, select from the drop-down menu.

B. **Date Accomplished.** If the event did not occur on the date of data entry, it will be necessary to insert the correct date.

C. **Location ID.** If the event did not occur at the default location, it will be necessary to use the drop-down menu to insert the correct location.

4.6.4 FIELDS CRITICAL TO RESOLUTION

A. **Organization.** For all resolution-related records, if the organization has been certificated by the Authority, it will be listed in this drop-down menu and should be selected. This is very important for the computer records tracking and sorting capability of CASORT.

B. **Primary PEL Number.** An entry will be made in this field when the primary individual that is a focus of the resolution is a PEL license holder.

C. **Designee Number.** An entry will be made in this field if the inspection involved a Designee, either as the primary focus of the inspection or associated with the particular inspection process.

D. **Registration Number.** An entry will be made in this field for all resolution-related actions involving a specific aircraft.

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E. **Inspector Use.** The inspector may choose to "connect" his resolution actions regarding a specific resolution using this field.

4.6.5 COMPLETION OF OTHER FIELDS

A. **Aircraft MMS.** An entry will be made in this field for all resolution-related records involving a specific fleet of aircraft or individual aircraft.

B. **Other PEL Number.** An entry will be made in this field if this particular resolution-related event involved another crew member.

C. **Maintenance Rep.** When a Maintenance Representative was involved in this particular resolution-related activity, it is important to include the name in the record.

D. **Management Rep.** When a Management Representative was involved in this particular resolution-related activity, it is important to include the name in the record.

E. **Memo.** Any information entered in this field should only include the general information regarding the resolution-related activity, such as a statement listing the participants in a meeting.

4.7 ENTERING TRAINING EVENTS

The purpose of this Section is to provide general guidelines that apply to the entering of training events regardless of the user's technical specialty.

4.7.1 KEY GUIDELINES FOR TRAINING EVENTS

A. A training event occurs when—

1) A inspector receives training; or

2) An instructor gives training.

B. An inspector receiving training will make a—

1) Single training action entry for each day he is in formal training; and

2) An OJT action entry for each day and each task he is receiving OJT training.

C. Once an training process is started, a close-out CAA Action record must be completed showing the results of that training.

D. The inspector may choose to connected the specific training records by using an ***Inspector Use*** field entry.

E. The possible Action Taken results for training record are ***I=In Work or C=Completed***.

4.7.2 TRAINING ACTION ENTRY BASICS

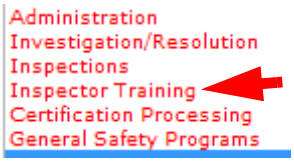
A. Inspectors will normally enter the Training Action numbers by memory or reference to technical guidance that recommends specific numbers.

B. If the inspector does not know the Action Number (by memory or reference to technical guidance, it will be necessary to—

1) Click on ***Enter*** on the CAA Actions bar on the Home Page ;

2) Click on the drop-down arrow in the right corner of the blank Action Number field;

3) This action displays the 1st-level selection list shown at the right. Select ***Inspector Training;***

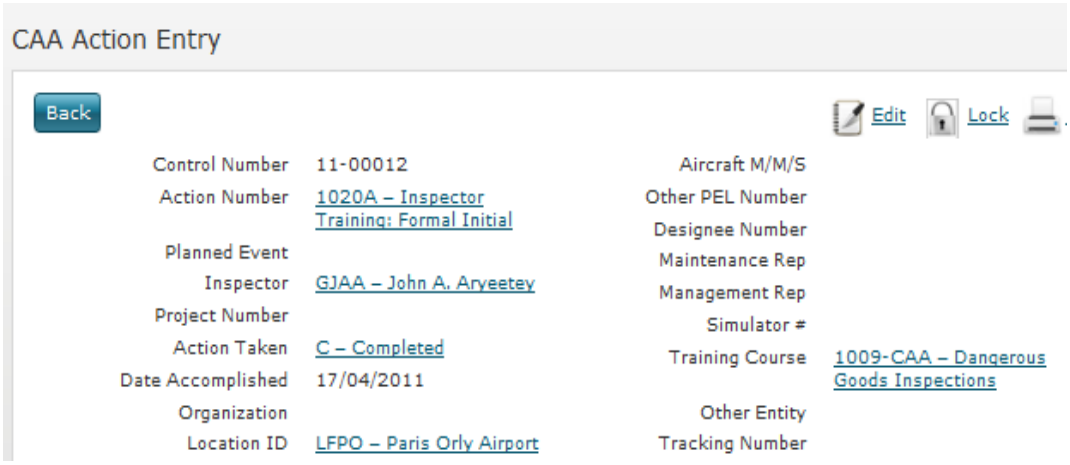


4) This action will display the 2nd-level level selection list of "primary" (or "root") numbers which are underlined to indicate there are other, more specific action numbers and descriptions under this "root" number.

4.7.3 FORMAL TRAINING ENTRIES

4.7.3.1 Trainee's Formal Training Daily Entries in CAA Action Database

A. The following is an example of a completed training record that will be entered by the trainee record attendance at a formal training class—



1) **Action Number.** The action number entered will depend on the type of training attended—

	Action Number	Action Description
View	1020	Inspector Training Attendance
View	1020A	Inspector Training: Formal [Initial Qualification]
View	1020B	Inspector Training: Formal Continuation/Recurrent
View	1020C	Inspector Training: OJT Qualification
View	1020D	Inspector Training:Aircraft Type-Specific Qualifi...
View	1020E	Inspector Training:Powerplant-Specific Qualificat...
View	1020F	Inspector Training:Component-Specific Qualificati...

- ***1020A*** will be chosen for a formal training session that covers subjects new to the inspector.
- ***1020B*** will be chosen for a formal training session that is intended to update an inspector's knowledge.
- ***1020D through F*** will be chosen for a formal training session that is devoted to providing the inspector with qualifying knowledge related to a specific aircraft, powerplant or component.

2) **Inspector.** There will be a record for each trainee for each training course and for each day of training.

The official record of formal training course completion will be in the printed qualification file for the inspector as summarized in the CAA Employee Qualification Records database.

3) **Action Taken**—

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- ***I=In Work*** will be used by the trainee daily until the day that the until the formal training course is completed.
- ***C=Completed*** will be used by the trainee on the date of training course completion.

This completion record will used, in part, as evidence of course completion.

4) **Location.** The location of the training.

5) **Management Rep.** Enter the instructor's last name and first initial (or first name).

6) **Training Course.** A drop-down menu is provided to select the training course number and title that is attended or has been completed by the inspector.

The Data Quality Coordinator will ensure that such a number is available to the inspectors (See Chapter 6).

4.7.3.2 Instructor Formal Training Entries

The following is an example of a completed record that will be entered by the instructor to record the conduct of a class on a specific day—

	Action Number	Action Description
View	1022	Conduct Training as Instructor
View	1022A	Instructor: Formal Class Training
View	1022B	Instructor: OJT Qualification
View	1022C	Instructor: Flight Training

- From this list, ***1022B*** will be chosen to indicate participation as an instructor in a formal class training session.

1) **Inspector.** There will be a record for each instructor for each day of training, in which he/she participated..

The official record of formal training course completion will be in the printed qualification file for the inspector as summarized in the CAA Employee Qualification Records database.

2) **Action Taken**—

- ***I=In Work*** will be used by the instructor daily until the day that the until the formal training course is completed.
- ***C=Completed*** will be used by the instructor on the date of training course completion.

3) **Location.** The location of the training.

4) **Training Course.** A drop-down menu is provided to select the number and title of training course relating to the formal training.

The Data Quality Coordinator will ensure that such a number is available to the inspectors (See Chapter 6).

4.7.4 OJT QUALIFICATION ENTRIES

4.7.4.1 Trainee's OJT Qualification Daily Entries in CAA Action Database

A. There are 2 types of OJT entries that a trainee should learn to make correctly—

1) OJT Level I (Orientation) or Level II (Demonstration); and

2) OJT Level III (Qualification).

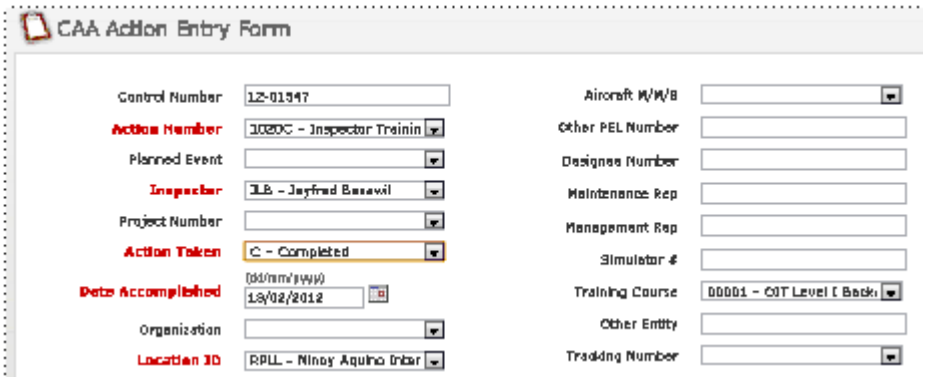
B. The primary difference between the OJT entries will be the Action Number—

1) The Action Number used for Level I and Level II will be ***1020C*** - Inspector Training: OJT Qualification.

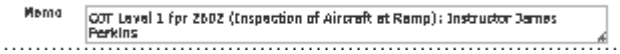
> Level I and Level II are just training in preparation for the Level III demonstration of competence for the task.

2) The Action Number used for Level III OJT Qualification will be the Action Number for the actual task for which the inspector has demonstrated competence.

4.7.4.2 OJT Level I Example Entry

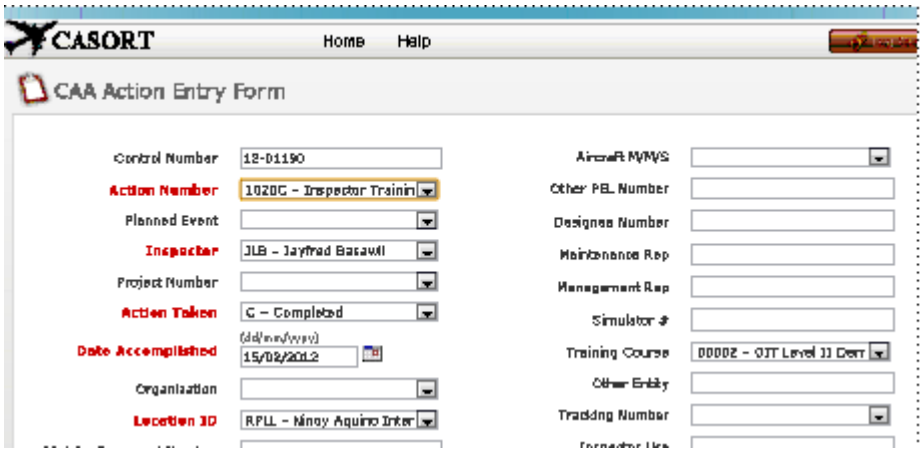


- The above record is an OJT Level I entry by the trainee.
- The Action Number is ***1020C***.
- The Training Course is selected as ***00001-OJT Level I Background/Knowledge***.
- The Memo field contains the specific Action (Task) Number for the OJT & Name of the OJT Instructor.



- The Action Taken field will contain “C=Complete” if the Level I OJT is completed.

4.7.4.3 OJT Level II Example Entry



- The above record is an OJT Level II entry by the trainee.
- The Action Number is ***1020C***.
- The Training Course is selected as ***0002-OJT Level II Demonstration***.
- The Memo field contains the specific Action (Task) Number for the OJT and Name of the OJT Instructor.

- The Action Taken field will contain ***C=Complete*** if the Level I OJT is completed.

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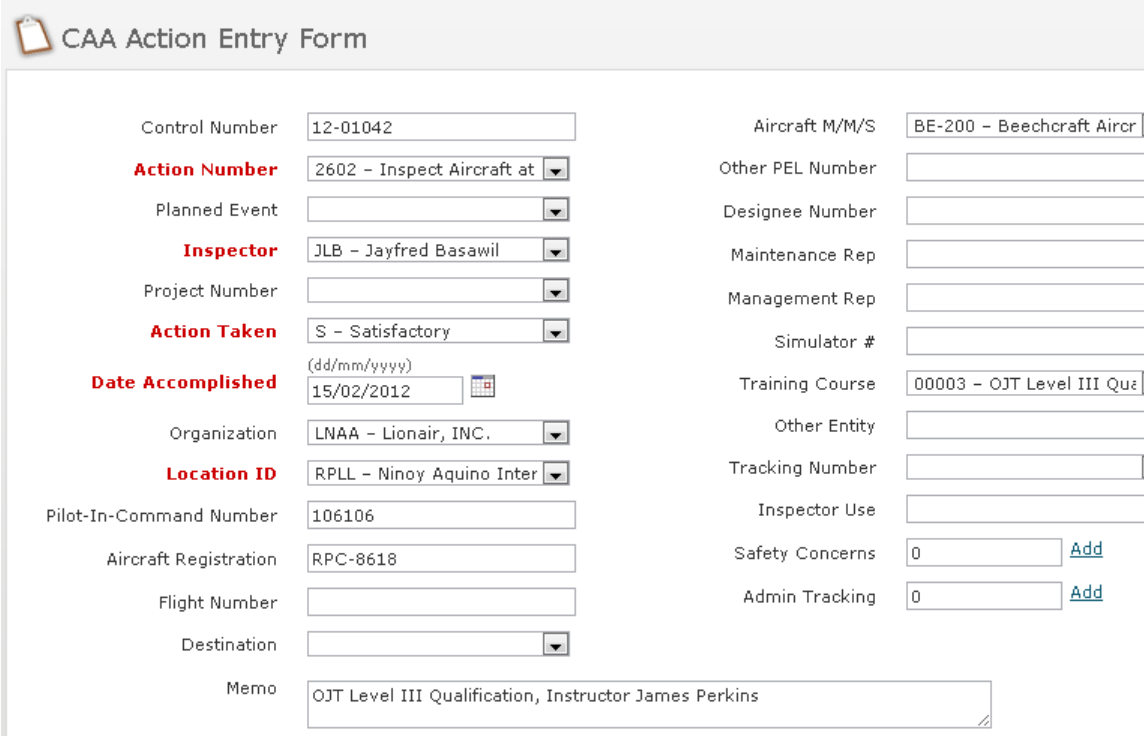
4.7.4.4 Level III OJT Example Entry

A. The following is an example of a completed training record that will be entered by the trainee to record a Level III OJT qualification—



1) The trainee will enter the actual Action Number for the OJT task being accomplished.

   - ♦ The record is actually completed as if the inspector performed the task.
   - ♦ The only indication that OJT was conducted will be the Training Course selection and the inclusion of a Memo outlining the fact that this record includes OJT.

2) **Inspector.** There will be a record for each trainee for each OJT session by task and for each day of OJT.

> The official record of OJT Level III completion will be in the printed qualification file for the inspector as summarized in the CAA Employee Qualification Records database.

3) **Action Taken.** The inspector will enter the technical decision resulting from the OJT task being accomplished**.**

   - ♦ The OJT instructor must concur with the selected Action Taken.

4) **Location.** The location of the training.

5) **Management Rep.** Enter the instructor's last name and first initial (or first name).

- **Training Course.** A drop-down menu is provided to select as ***0003-OJT Level III Qualification***.

> OJT qualification is documented by the Training Course number 1020C which corresponds to the Action number for OJT training.

6) **Memo**. The person receiving OJT should indicate in the memo—

   (a) The Action Number of the OJT Task;

   (b) Followed by the term "OJT."

   (c) Then the OJT Level for this task.

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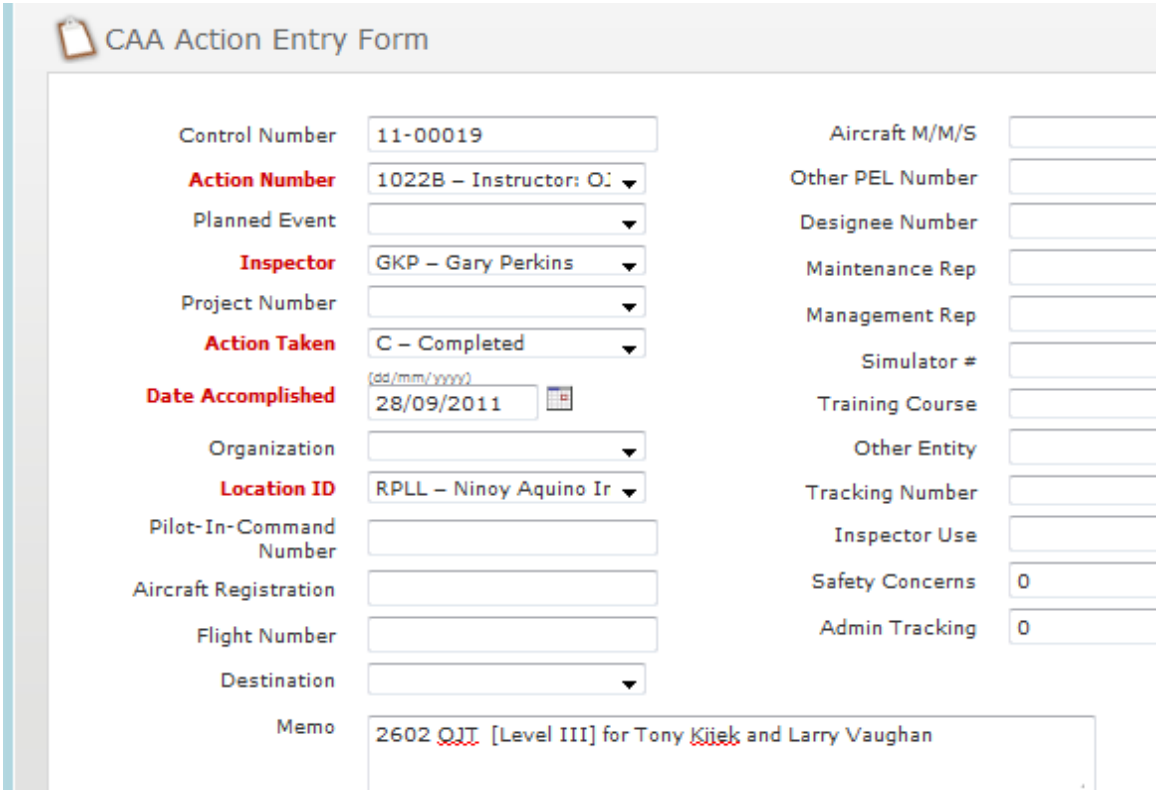
4.7.5 OJT INSTRUCTOR'S DAILY ENTRIES

The following is the recommended completion method for the CAA Action entry of the OJT Instructor—



1) **Action number** = 1020B. This will be the standard entry for the instructor. The instructor is only required to make a single entry for each different session. If you are OJT-ing 1 or more inspectors simultaneously, you will make a single entry.

2) **Inspector** = Instructor Initials

3) **Project Number** = A project number is not normally used unless there is a need to connect the records of an overall project.

4) **Tracking Number** = 1020C.

   - This is the tracking number that will be used by both the instructor and trainee during this process.
   - This standardized number will facilitate the tracking of OJT training given and received.

   - If you are OJT instructor for more than three inspectors simultaneously, you are probably not OJT-ing.
   - You are probably conducting formal training.

5) **Action Taken**—

   - ***I=In Work*** will be used by the instructor until the trainee(s) are able to demonstrate competency in the specific OJT task.

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- ***C=Completed*** will be used by the instructor when the OJT training on that subject is completed with the trainee(s) all demonstrating competency in the OJT Task.

- When each trainee demonstrates competency in an OJT Task, the instructor will annotate the hard-copy OJT record of that accomplishment.
- The instructor will then notify the supervisor of the date and task each trainee has successfully accomplished.
- The Data Quality Coordinator will make the official training completed entry into the CAA Employee Qualification database.

6) **Date Accomplished**. A record should be made for each day of the OJT training on the specific task.

7) **Location.** The location of the training should be recorded.

8) **Memo.** The instructor enter the names of the persons receiving OJT and the key points of the training given.

End of Chapter

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Chapter 5
Specialized CAA Action Entries

The purpose of this chapter is to provide guidance on the completion of complex CAA Action entries, especially those dealing with planned evaluations and inspections, so that all events and activities are captured in the database.

5.1 ENTERING SIMULTANEOUS OR CONSECUTIVE EVENTS

5.1.1 LARGE OR SMALL "BITES?"

A. Some safety oversight databases were developed to support the traditional concepts left over from the purely paper forms days of inspector work. For example, there was an inspection called the "Main Base Inspection" that sometimes took three or more days to complete once annually.

B. There a several reasons that this methodology does not belong in 21st Century safety oversight programs—

- One appearance by the Authority annually is passive safety oversight. There is no way to detect trends and patterns in the conformance posture of the management of the AOC holder, ATO or AMO organization.
- One appearance per year is difficult to coordinate and essentially puts the organization's personnel and mission on hold - unless the Authority is willing to "skim the surface" when conducting the inspection.
- Making a single entry in the database for "Main Base Inspection" does not provide for recognition of the truth about this "inspection." Properly done, it is a complex series of inspections. But there is no indication in a single database entry "Main Base Inspection" to show that complexity.
- An effective safety oversight program will be set up to continuously have the inspectors interacting with the company personnel in small "bites" throughout the organization. With this approach, the operator's personnel have a better understanding of the role of the Authority and will also be more diligent in work because the CAA inspectors inspect more often.

C. CASORT was developed to bring the Safety Oversight Authority into the 21th Century. It provides for the ability to enter multiple evaluation and inspection events, either simultaneously or consecutively, to demonstrate an on-going safety oversight "story."

5.1.2 MULTIPLE CONSECUTIVE SMALL BITES

A. The "Main Base Inspection" provides a good example of using small bites to tell the inspection story. Here are some of the little inspections that are included in a "Main Base Inspection."

Use	Inspect Shops	4603B
Use	Inspect Tools and Equipment	4603C
Use	Inspect Precision Test Equipment	4603D
Use	Inspect Stores	4603E
Use	Inspect Technical Data	4603F
Use	Inspect Housing and Facilities	4604A
Use	Inspect Tools and Equipment	4604B
Use	Inspect Stores	4604C
Use	Inspect Technical Data	4604D
Use	Inspect Maint & Servic Trng Records	4605E

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B. CASORT gives each of those evaluations and inspections a separate number. Now when the inspector begins this series of small inspections—

- The actual status of each of those inspections can be displayed in the database in chronological order.
- The inspector can plan to do only a few at one time, returning one or more times later in the annual cycle to continue the series, ensuring time to do quality inspections and minimal impact on the company.
- Or in a small organization, the inspector could do the majority of these inspections in sequence without compromising the depth of the inspections. Then return later in the year to do another over-lapping sequence of inspections.
- The real benefits are a clearer picture of the conformance posture of company, ability to deal with identified, but localized issues and do this by having more presence, but less impact.

5.1.3 SIMULTANEOUS MULTIPLE RECORDS

A. Examples of the use of simultaneous multiple records are usually associated with evaluations and inspections of less-complex operators.

- Example 1- Inspection of Aircraft Records: Rather than a single “Aircraft Records Inspection,” the inspector could choose to do two or three of the list below when dealing with large fleet of aircraft. But, if the operator had only one or two aircraft of the same type, the inspector could do all of.these nearly simultaneously at one inspection sitting, yet enter each separately in the CAA Action database. Which will provide a better picture, one entry or multiple entries that “drill-down” into the depth of the inspection?

Use	Inspect Airworthiness Directive Records	4622A
Use	Inspect Mandatory Service Bulletin Records	4622B
Use	Inspect Time-in-Service Records	4622C
Use	Inspect Scheduled Inspection Records	4622D
Use	Inspect Life-Limited Component Records	4622E
Use	Inspect Overhauled Component Records	4622F
Use	Inspect Major Alteration & Repair Records	4622G
Use	Inspect Aircraft Technical Log Records	4622H
Use	Inspect Defect Deferring Records	4622I

B. Consider that an evaluation of the aircraft operating checklist could take several days for a large aircraft or less than an hour for a small aircraft. Yet, in both checklists, a series of the same evaluations are made. With CASORT the inspector can choose “Evaluate Aircraft Checklist” as a single entry - or reflect the key evaluations that were made using the list below - and making multiple simultaneous records to show the depth of the evaluation.

Use	Eval A-S Flight Deck Setup Flow Patterns	2371A
Use	Eval A-S Normal Chklst Challenge/Response	2371B
Use	Eval A-S Condensed Abnormal Procedures	2371C
Use	Eval A-S Condensed Emergency Checklist	2371D
Use	Eval A-S Checklist Philosopy	2371E
Use	Eval A-S Summarized Callouts/Responses	2371F

5.1.4 BUILT-IN FLEXIBILITY

CASORT provides the ability to summarize an evaluation or inspection with a single record – or tell a detailed story of the series of evaluations or inspections that led up to an overall inspection. This can be done by multiple records reflecting a consecutive sequence or a series of simultaneous inspections.

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5.2 NOTIFICATION REMINDERS

The CASORT database has a feature that notifies the user when critical planned records are becoming due—

- This feature allows the users and their managers to plan records for events and actions that must be taken in the future.
- Then execute those records before they become stale.

5.2.1 CATEGORIES OF NOTIFICATIONS

Notifications
6 Open Safety Issues Due
1 Management-Assigned Tasks Due
4 Unfinished MRAI Inspection Due
1 Minimum Certification Event Due
1 Other Suspense or Project Record Due
2 Expiring Document Due
1 Employee Training Due

A. There are presently 5 categories of records that will generate a notification—

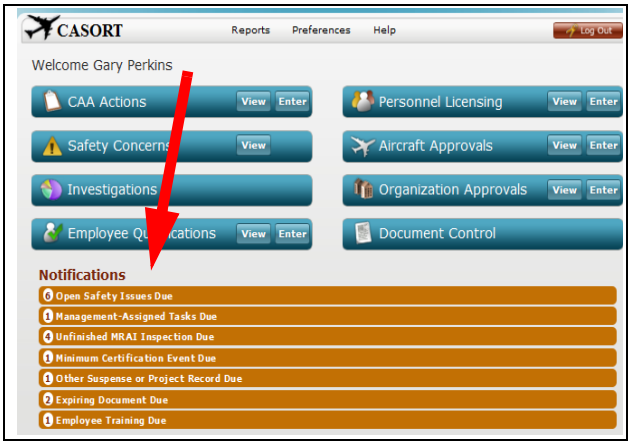
1) An open safety issue;
2) A management-assigned task
3) A planned minimum required annual inspection (MRAI);
4) A planned Minimum Certification Event (MCE);
5) A planned expiring document
6) A planned employee training requirement; and
7) Any other planned record.

B. These categories will display in the order that they are shown above.

A specific notification category will not appear if there are no records meeting the criteria for notification.

5.2.2 HOME PAGE NOTIFICATIONS LOCATION

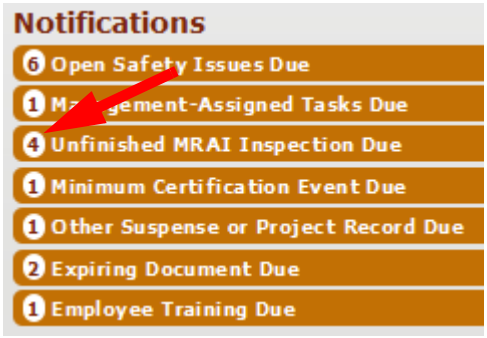
On initial log-in, the notification panel will appear at the top of the Home Page. Any action taken by the user on the Home Page will cause the notification panel to move to the bottom of the page for the remainder of the data entry session (as shown in the graphics below)—.



5.2.3 VIEWING THE NOTIFICATIONS

A. The user may choose not to view any of the records.

- But the notification panel will remain at the bottom of the home page.


Notifications
6 Open Safety Issues Due
1 Ma...gement-Assigned Tasks Due
4 Unfinished MRAI Inspection Due
1 Minimum Certification Event Due
1 Other Suspense or Project Record Due
2 Expiring Document Due
1 Employee Training Due

B. To view the records in each category, the user will select the number in the white circule located to the left of the notification.

C. That action will bring up a View panel containing the records that currently meet the criteria for notification.

- The records should be sorted chronologically by date

.

	Record	Target	Action#	Action Description	Name	PE	Action	Org	PEL#	Designee#	Sim#
View	208	2011-03-31	2606D	Inspect Aircraft Tech Log Records	GKP	R	P	AAWA			
View	204	2011-03-31	2602D	Inspect Aircraft Loading at Ramp	GKP	R	P	AAWA			
View	199	2011-03-31	2601A	Inspect Flight Deck Procedures In-Flight	GKP	R	P	AAWA			
View	98	2009-11-15	2601	Inspect Crew Procedures In-Flight	GKP	R	P	VACA			

5.2.4 RECOMMENDED POLICIES RELATING TO NOTIFICATION CATEGORIES

5.2.4.1 Open Safety Issue

A. Timely completion of an open safety issue is critical to the credibility of the Inspectorate. It is important to resolve these issues without significant delay.

B. The notification panel will contain any open safety issue that is within 5 days of its target date for resolution (and will continue to appear until it is resolved).

- The user may NOT change the planned date on a notification record without the approval of their supervisor.
- The only exception to this requirement is for planned created by the user for his personal use.

C. The user may, with the approval of their supervisor change the target date of the safety issue to a date further in the future to silence this notification.

5.2.4.2 Management-Assigned Task

A. There is a management expectation that tasks assigned by the Data Quality Coordinators should be accomplished at a priority level.

B. The notification panel will contain any management-assigned task that is within 5 days of its planned date for completion (and will continue to appear until completed.).

C. The user may, with the approval of their supervisor, change the planned completion date for the management-assigned task to silence the notification.

5.2.4.3 Minimum Required Annual Inspection

A. The completion of the MRAI inspections within the assigned quarter of the year is critical to the on-going validation of organizations and designees supervised by the Inspectorate.

B. MRAI inspections are normally planned for the last day of the quarter of the year in which it must occur.

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C. The notification panel will contain any MRAI record that is within 30 days of the last day of the quarter in which it must be completed (and will continue to appear until completed.).

D. The user (or manager) may change the planned date to another date within the assigned quarter of the current year.

> The new date must be set within the quarter of the year originally planned.

5.2.4.4 Minimum Certification Event

A. The completion of the MCE events in a timely manner is critical to the certification process that the Inspectorate is administering. These dates are normally planned by the Certification Project Coordinator, in coordination with the inspector, as the certification process progresses.

B. The notification panel will contain any minimum certification event that is within **30 days** of its planned date of completion.

C. The user may, with the approval of the supervisor or the Certification Project Coordinator, change the planned date for completion of an MCE.

5.2.4.5 Expiring Official Documents

A. The expiration date of official documents is important for international operations of aircraft. These dates are normally inserted in the CAA Action database at the time of issuance or renewal of the documents..

B. The notification panel will contain any expiring document that is within **30 days** of its official date of expiration.

C. The user may, with the approval of the supervisor, change the planned date for expiration of official documents when the documentation has been prepared for renewal or cancellation..

5.2.4.6 Training Plan Dates

A. The development of a training plan for an employee is critical to their initial and continued technical qualification. Normally the training plan will be developed for a 24-month period.

B. The notification panel will contain any training plan event that is within **30 days** of its planned date for attendance in the training.

C. The supervisor may change the planned date for attendance in training course—

1) Based on the cancellation of training or amendment to the date; or

2) When all travel arrangements have been made to attend the training..

5.2.4.7 Other Suspense or Project Record

A. The “other suspense or project” category provides a method for the user to plan and receive notification of records that will need to be completed.

B. The notification panel will contain any record that has P=Planned selected in the Action Taken field. is within 15 days of the planned date of accomplishment. It will continue to be shown in the notification panel until it is completed.

C. The user may, without coordination, change the planned date for completion of an “other” planned record.

5.3 ENTERING COMPLETED MRAI INSPECTIONS

5.3.1 MINIMUM REQUIRED ANNUAL INSPECTIONS

A. Each year, at least 30 days prior to the beginning of the new year, the Inspectorate will look at the complexity of their aviation environment. Decisions will be made regarding the minimum

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inspections that should be accomplished to validate the renewal of privileges issues to organizations and designees. That information will be published in an Inspectorate guidance document.

B. The principal inspectors will then plan the minimum inspections, for each organization and designee, that will be accomplished during the new year. (This planning does not preclude additional inspections as deemed necessary to sample the continued conformance of these entities.)

5.3.1.1 CASORT Planning Reports

A. The MRAI inspections will be spread across the year, assigned by annual quarters (or months) to ensure an on-going inspection program.

> Scheduling MRAI by month is really much more feasible with the "notification" feature.

B. The inspections will be dated for the last day of the quarter (or month) in which it should be conducted.

> For example, a calendar year beginning on 1 January will have four quarters ending on the following dates—
> - 31 March
> - 30 June
> - 30 September
> - 31 December

C. These inspections will be assigned to specific inspectors and uploaded to the CASORT database.

- The initial reports will be generated and distributed to the inspectors.
- Through the year the supervisors will generate reports showing the unfinished inspections and distribute those.

5.3.1.2 Conduct of MRAI Inspections

A. The intent is that the inspections will be conducted in the assigned quarter prior to the planned date.

B. Inspections which are not entirely satisfactory will generate the need to conduct further inspections of the same type.

> The follow-up inspections will not be MRAI inspections. They are in addition to the MRAI.

5.3.2 INSPECTOR ACCOMPLISHMENT IS CRITICAL

A. It is critical to the credibility of the CAA that inspectors complete these inspections in a timely and correct manner.

B. The reports, "Unfinished MRAI," will list the inspections, providing the Record Id number of each inspection.

1) After an inspector completes an MRAI inspection, they will go to the assigned record,

2) Armed with that Record ID Number, click on *View* on the CAA Actions bar on the Home Page;

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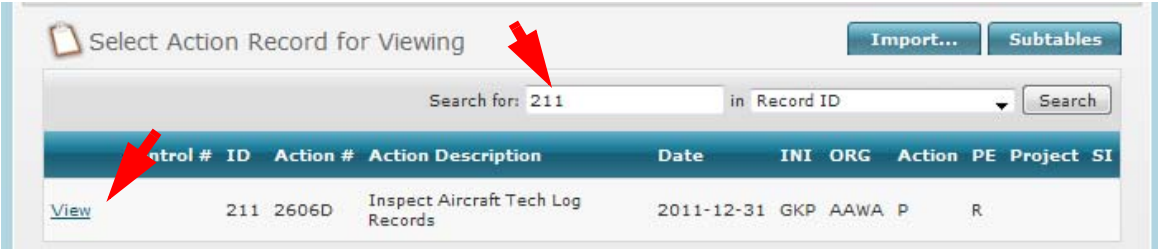
3) When the CAA Action VIEW page appears;


Select Action Record for Viewing
Import...
Subtables
Search for: 211
in Record ID
Search
ntrol # ID Action # Action Description Date INI ORG Action PE Project SI
View 211 2606D Inspect Aircraft Tech Log Records 2011-12-31 GKP AAWA P R

4) Enter that Record ID number assigned to that MRAI inspection in the search function and select "Search,"

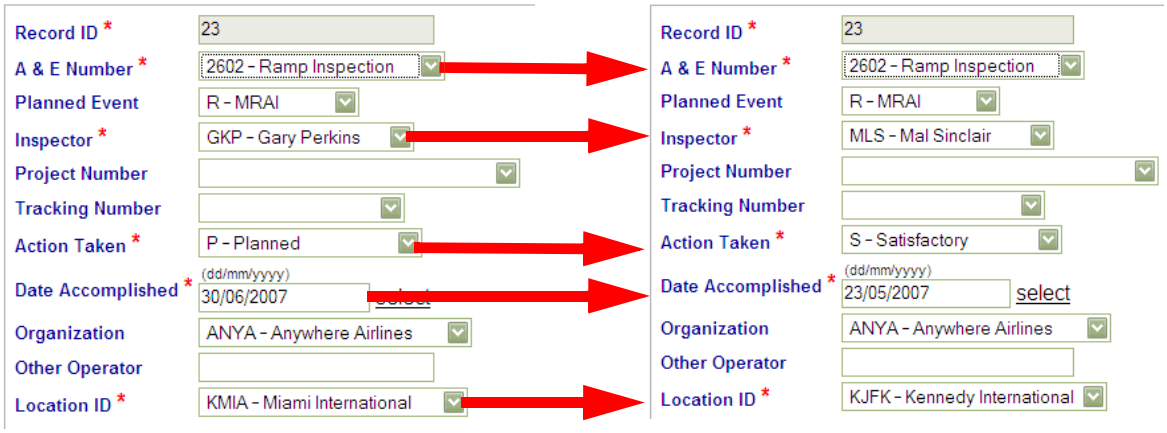
5) When the database provides that record for editing, the inspector will select "View" to bring up the record.

Action Number	2606D – Inspect Aircraft Tech Log Records
Planned Event	R – Minimum Required Annual Inspection
Inspector	GKP – Gary Perkins
Project Number	
Action Taken	P – Planned
Date Accomplished	31/12/2011
Organization	AAWA – Anywhere Airlines Worldwide, Ltd.
Location ID	DGAA – Kotoka International

5.3.3 COMPLETION INSTRUCTIONS

A. The following must be completed in order to have a valid MRAI completion.

- Action Number should not be changed unless there is a more specific drill-down number for the inspection task.
- The MRAI may be reassigned to another inspector (or traded). The accomplishing inspector should appear in the completed MRAI record.
- The Action Taken must be updated to reflect the finding of the inspector.
- The Date Accomplished must be updated to reflect the date on which the MRAI was actually accomplished.
- The Organization should not be changed.
- The Location ID may be updated if the inspection was one that could have been accomplished anywhere in the organization's system of operations


Record ID * 23
A & E Number * 2602 - Ramp Inspection
Planned Event R - MRAI
Inspector * GKP - Gary Perkins
Project Number
Tracking Number
Action Taken * P - Planned
Date Accomplished * (dd/mm/yyyy) 30/06/2007
Organization ANYA - Anywhere Airlines
Other Operator
Location ID * KMIA - Miami International
Record ID * 23
A & E Number * 2602 - Ramp Inspection
Planned Event R - MRAI
Inspector * MLS - Mal Sinclair
Project Number
Tracking Number
Action Taken * S - Satisfactory
Date Accomplished * (dd/mm/yyyy) 23/05/2007 select
Organization ANYA - Anywhere Airlines
Other Operator
Location ID * KJFK - Kennedy International

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- The Aircraft MMS (not shown) should not be revised if specifically designated in the MRAI record.
- The Pilot License Number (not shown) should not be revised if specifically designated in the MRAI record.

The completed record will now have an assigned Control Number

B. The remainder of the record should be completed in accordance with the guidance for completing inspector records.

5.3.4 STANDARD REPORT: UNFINISHED MRAI [INSPECTOR]

A. The quickest way to see the records that were just entered and the assigned Record ID is to go to the Home Page and select the tab "Reports." In those reports the user will find the reports that deal with UNFINISHED MRAI. These reports are set up to only show the "R-records" that are still planned.

Unfinished MRAI [Inspector]	Provides an inspector a listing of his unfinished MRAI inspections
Unfinished MRAI [By Organization]	Provides alisting of the unfinished MRAI inspections for a specific organization
Unfinished MRAI [All]	Provides a listing of all unfinished MRAI inspections in the database

B. The first example is the Unfinished MRAI (Inspector) report. Inspector "HKW" was assigned 3 of the "R-records." To see the "R-records" assigned to that inspector, click on the link for that standard report.

C. This action will bring up the report filter. Enter the initials of the inspector to get a list of ALL of the UNFINISHED MRAI assigned to this inspector. Then select "Generate Report."

Report Filters
Unfinished MRAI [Inspector]

INI HKW
Generate Report

D. This action will bring up, for that inspector, ALL of that inspector's Unfinished MRAI records. (The following report is only a small sample of the reports that would be available for the inspector.)

E. In this particular case the Unfinished MRAI inspections are sorted—

1) First by chronological order,
2) Then by Action number, and
3) Finally by Organization

F. The example below shows the 3 records that were just entered for this inspector. (At the time of this report, these were the only R-records for this inspector in the database.)

Unfinished MRAI [Inspector]

DATE	ORG	INI	LOC	MMS	REG#	PE	ACTION	ID#	A&E#	SPC	DESCRIPTION
30/06/2004	FFAA	HKW	KMIA	DHC-8-300/311		R	P	72	4622C	A	Inspect Time-in-Service Records
30/09/2004	FFAA	HKW	KMIA	DHC-8-300/311		R	P	73	4622E	A	Inspect Life-Limited Component Records
31/12/2004	FFAA	HKW	KMIA	DHC-8-300/311		R	P	74	4622F	A	Inspect Overhauled Component Records

- Note that each R-record now has a Record ID number.
- This allows the user, after consulting this report, to select the specific reserved record after completing the R-inspection.

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5.3.5 STANDARD REPORT: UNFINISHED MRAI [ORGANIZATION]

A. Selecting the standard report "Unfinished MRAI [Organization] will bring up the Report Filter field.

B. The Identifier of the Organization just entered was "FFAA." Enter that Identifier in the filter and select "Generate Report."

C. That action will immediately result in the requested standard report, sorted in the same manner as the "Inspector" report.

Unfinished MRAI [By Organization]

DATE	ORG	INI	LOC	MMS	REG#	PE	ACTION	ID#	A&E#	SPC	DESCRIPTION
30/06/2004	FFAA	VDR	KMIA	DHC-8-300/311		R	P	70	4622A	A	Inspect Airworthiness Directive Records
30/06/2004	FFAA	VDR	KMIA	DHC-8-300/311		R	P	71	4622B	A	Inspect Mandatory Service Bulletin Records
30/06/2004	FFAA	HKW	KMIA	DHC-8-300/311		R	P	72	4622C	A	Inspect Time-in-Service Records
30/09/2004	FFAA	HKW	KMIA	DHC-8-300/311		R	P	73	4622E	A	Inspect Life-Limited Component Records
31/12/2004	FFAA	HKW	KMIA	DHC-8-300/311		R	P	74	4622F	A	Inspect Overhauled Component Records

5.3.6 STANDARD REPORT: UNFINISHED MRAI [ALL]

A. As the M-records for all organizations are entered, this standard report will allow the manager to see all of the MRAI records that are currently "Unfinished," sorted by—

1) Organization,

2) Action Number; and

3) Chronological deadline date.

B. This report should be printed out weekly so that management can track the implementation of the planned annual surveillance.

5.4 ENTERING COMPLETED MCE INSPECTIONS & EVALUATIONS

5.4.1 MINIMUM CERTIFICATION EVENTS

A. At the beginning of each certification, the Certification Team will look at the planned complexity of the applicant. Decisions will be made regarding the minimum certification events that should be accomplished during the certification. The minimum events will be at least those specified in the CAA guidance document for certification.

B. The Certification Team will then plan the minimum evaluation and inspection events that have to have a satisfactory conclusion in order to complete the certification.

This planning does not preclude additional events that may be necessary as the certification progresses in order for the Certification Team to make a determination.

5.4.1.1 CASORT Planning Reports

A. The MCE events will be entered into the system, each with the same planned date of at least 12 months after the application is accepted.

B. These MCE will be initially assigned to the Certification Project Coordinator. The CPC will then assign those events to specific inspectors.

C. A Certification Planning Report will be generated at the outset. Throughout the certification, the Data Quality Coordinators will generate reports showing the MCE events which have not be accomplished satisfactorily.

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5.4.1.2 Conduct of MCE Events

A. The intent is that each of the MCE events must be been A=Approved/Accepted (evaluations) or S=Satisfactory (inspections). The assigned Certification Team will accomplish the assigned minimum evaluations and inspections in a logical order and in concert with the process.

B. If the events are not A=Approved/Acceptable or S=Satisfactory, the MCE Record IDs will not be used to record the event.

> There will be follow-up events (not MCE events) until there is an acceptable accomplishment of the event.

C. MCE evaluations and inspections which are not entirely satisfactory will generate the need to conduct further evaluations and inspections of the same type.

D. When the specific event is entirely satisfactory, the assigned inspector will use the appropriate MCE CAA Action file to record that satisfactory conclusion.

5.4.2 INSPECTOR ACCOMPLISHMENT IS CRITICAL

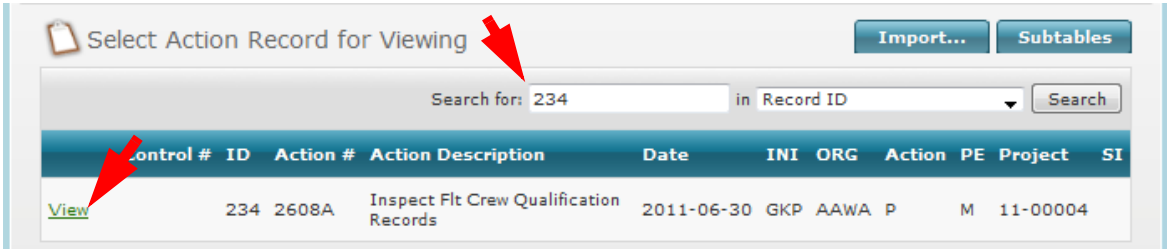
A. It is critical to the credibility of the CAA that inspectors not use the assigned MCE CAA Action file until that event is entirely satisfactory.

B. The Certification Planning Report will be consulted to determine the Record ID of the MCE events.

1) After an inspector completes an MCE event, they will go to the assigned record,

2) Armed with that Record ID Number, click on *View* on the CAA Actions bar on the Home Page;

3) When the CAA Action VIEW page appears;


Select Action Record for Viewing
Import...
Subtables
Search for: 234
in Record ID
Search
Control # ID Action # Action Description Date INI ORG Action PE Project SI
View 234 2608A Inspect Flt Crew Qualification Records 2011-06-30 GKP AAWA P M 11-00004

4) Enter that Record ID number assigned to that MCE event in the search function and select "Search,"

5) When the database provides that record for editing, the inspector will select "View" to bring up the record.

5.4.3 COMPLETION INSTRUCTIONS

A. The following must be completed in order to have a valid MCE completion.

- Action Number should not be changed.

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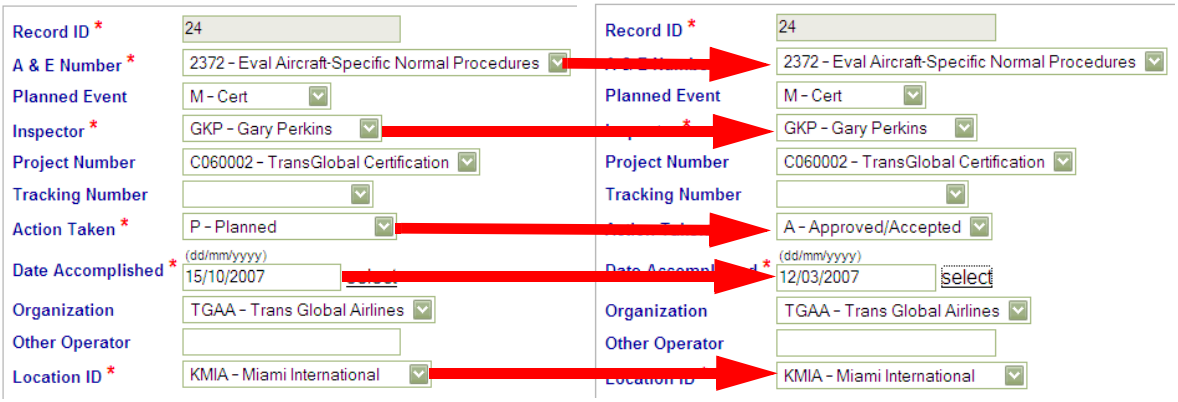
- The MCE may be reassigned to another inspector (or traded). The accomplishing inspector should appear in the completed MRAI record.
- The Project Number should not be changed.
- The Action Taken must be updated to A=Approved/Accepted (evaluation) or S=Satisfactory (inspection) to reflect that the event was entirely satisfactory.
- The Date Accomplished must be updated to reflect the date on which the MCE was actually accomplished.
- The Organization should not be changed.
- The Location ID may be updated to the actual location.

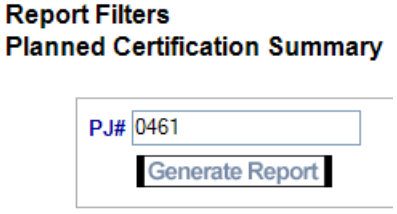

Record ID * 24
A & E Number * 2372 - Eval Aircraft-Specific Normal Procedures
Planned Event M - Cert
Inspector * GKP - Gary Perkins
Project Number C060002 - TransGlobal Certification
Tracking Number
Action Taken * P - Planned
Date Accomplished * (dd/mm/yyyy) 15/10/2007
Organization TGAA - Trans Global Airlines
Other Operator
Location ID * KMIA - Miami International
Record ID * 24
2372 - Eval Aircraft-Specific Normal Procedures
Planned Event M - Cert
GKP - Gary Perkins
Project Number C060002 - TransGlobal Certification
A - Approved/Accepted
(dd/mm/yyyy) 12/03/2007 select
Organization TGAA - Trans Global Airlines
Other Operator
KMIA - Miami International

- The Aircraft MMS (not shown) should not be revised if specifically designated in the MCE record.
- The Other Crew Number (not shown) should not be revised if specifically designated in the MCE record.

B. The remainder of the record should be completed in accordance with the guidance for completing inspector records.

5.4.4 STANDARD REPORTS

The quickest way to see the records that were just entered and the assigned Record ID is to go to the Home Page and select the tab "Reports." In those reports the user will find the reports that address CERTIFICATION.



5.4.5 STANDARD REPORT: PLANNED CERTIFICATION SUMMARY

Planned Certification Summary	Provides a listing of all A&E numbers assigned to a specific certification. It is only used to record the initial planning of a certification

A. This report will be the baseline to show that the proper planning and entry was accomplished.

B. This particular report conducts a query for the

1) Project number;

2) M=MCE; and

3) P=Planned.

C. The report filter will be the project number.

- It is very important that this report is printed immediately after the MCE entries are completed.
- Place this record in the file as evidence of the certification plan.

D. The results will be sorted by Action number.

Planned Certification Summary

PJ#	DATE	ORG	INI	LOC	MMS	REG#	PE	ACTION	ID#	A&E#	SPC	DESCRIPTION
0461	31/05/2004	JACP	JWS	KMEM	B737-300		M	P	75	2311	O	Eval Critical Records
0461	31/05/2004	JACP	JWS	KMEM	B737-300		M	P	76	2311	O	Eval Critical Records
0461	31/05/2004	JACP	JWS	KMEM	B737-300		M	P	77	2311	O	Eval Critical Records
0461	31/05/2004	JACP	JWS	KMEM	B737-300		M	P	78	2311	O	Eval Critical Records
0461	31/05/2004	JACP	JWS	KMEM	B737-300		M	P	79	2311	O	Eval Critical Records

5.4.6 STANDARD REPORT: COMPLETED CERTIFICATION SUMMARY

Completed Certification Summary	Provides a chronological listing of all A&E Record certification records in the database for a specific certification project number. A paper copy of this report is retained as arecord of the completed certification

A. This report will stand as the evidence for the completed certification.

B. This report will contain, in chronological order, all of the events that occurred during the certification.

- Note that each M-record now has a Record ID number.
- This allows the user, after consulting this report, to select the specific reserved record after SATISFACTORILY completing the M-Record.

C. The query is based solely on the assigned project number and sorts solely in chronological order.

5.5 CERTIFICATION OF ORGANIZATIONS

A. The purpose of this section is to orient the user with the entries that are associated with the certification of organizations.

B. The example that is presented here is the certification of an air operator that will be authorized to carry passengers on a scheduled basis with large turbojet aircraft. This example should provide the most complex data entry requirements that will be experienced in an Inspectorate.

5.5.1 BEFORE THE CERTIFICATION PROCESS

A. One of the almost daily events that will happen in any Inspectorate is the routine contact from the public to ask about some aspect of certification of an organization.

B. Those random non-specific contacts will be recorded as "Technical Assistance-Certification."

Use	1003A	Tech Assist-Certification

C. These contacts and questions may be handled by any qualified inspector. But the rules change when the organization submits a PASI.

5.5.2 PRE-APPLICATION STATEMENT OF INTENT

A. When the PASI is submitted, the inspectors authorized to speak to the applicant concerning this particular certification shrink to only the inspectors selected by the manager to conduct the process.

B. But this submission of a PASI usually is done by a meeting. This meeting is considered still considered to be "Technical Assistance-Certification." The lead inspector (or manager) for the meeting will enter this CAA Action record.

Use	1003A	Tech Assist-Certification

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C. Other inspectors attending this meeting will enter an Action Record using the Action Number *1004A = Assist Another Inspector with Certification* because they are supporting the lead inspector.

Use	1004A	Tech Support-Certification

5.5.3 FIRST CAA ACTION RECORD OF THE CERTIFICATION PROCESS

A. An inspector will be assigned as the CPC (Certification Project Coordinator). It is the responsibility of the CPC to enter the first record for the process.

B. The CPC will enter a CAA Action record marking the beginning of the process by selecting the Action number. The first tier choice is 'Initial Certification."

1) The example is the AOC certification of a large aircraft. Selecting "Use" for 1150A will make all required entries for this record.

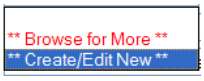
Action	Activity Number	
Use	1150	Certification
Use	1150A	Certification-AOC Large Aircraft
Use	1150B	Certification-AOC Air Taxi Aircraft
Use	1150C	Certification-AOC Helicopter
Use	1150D	Certification-AMO

2) Selecting *Go* will leave the record and open a group of navigation links.

3) At the saved screen, select "Edit the record just saved." This will return the user to the record (which now has an assigned Record ID) for continued data entry.

4) To finish this initial certification record, the CPC must enter a project number to allow the connection of all records that are made in this certification. That project number will be "0461" [04=2004; 61=Record ID that database auto generated for this file].

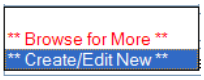
5) Select the drop-down menu arrow for PROJECT NUMBER, then select "Create/Edit New;"



6) Enter the information for the new project number and select "save and return" to return to the CAA Action records.

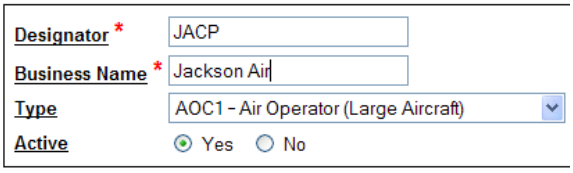
Create/Edit Project Number

7) Now (if this is a new organization), select the drop-down menu arrow for the ORGANIZATION, then select "Create/ Edit New;"



8) Enter the information for the new organization, and select "Save and Return" to return to the CAA Action record.

Organization



9) The CPC has now--

- Completed the CAA Action record that begins the certification process,
- Opened an active project number to allow all inspector participants to connect the records associated with this certification, and
- Made the new organization active in the CAA Action software.

C. That concludes the procedure for entering the beginning record for a certification. The stage is now set for the certification process.

A & E Entry Form

Record ID *	61
A & E Number *	1150A - Certification-AOC Large Aircraft
Planned Event	
Inspector *	HKW - Homer Wilson
Project Number	0461 - Certification: Jackson Air
Tracking Number	
Action Taken *	I - In Work
Date Accomplished * (mm/dd/yyyy)	20/04/2004
Organization	JACP - Jackson Air
Other Operator	
Location ID *	KMIA - Miami International

5.5.4 INTERNAL INSPECTORATE PREPARATION

A. After the CAA Action record is entered establishing the beginning of the certification process - ALL SUBSEQUENT CAA ACTION RECORDS - associated with this certification will include the project number contained in this record.

B. Prior to the Document Evaluation processes, most of these entries will use the Action Number *1003A = Public Assistance re Certification Issue*.

C. If an inspector has a conversation, meeting, etc., with the applicant or his representatives as the primary representative of the Inspectorate – that inspector will enter an Action record using the *Action Number 1003A = Public Assistance re Certification Issue.*

A & E Number * 1001B - Certification Project Coordinator Duties

5.5.5 CPC DUTIES ENTRY

A. Every day that the assigned CPC acts in any way in this role, a CAA Action record should show that CPC duties were performed.

B. This entry should be made regardless of the amount of time actually spent performing as the CPC on that date.

5.5.6 PRE-APPLICATION MEETING

A. The Inspectorate team member that chairs the Pre-Application Meeting will enter a specific CAA Action record for that meeting.

Administration
Investigation/Enforcement
Inspections
Training
Initial Certification
Meetings & Documents
General Certification

B. That record will use the Action number 1154A (Conduct Pre-Application Meeting)

Action	Activity Number	Activity D
Use	1154	Conduct Certification-Related Formal Meeting
Use	1154A	Conduct Pre-Application meeting

C. For any other information meeting during this period, the CPC (or his designee) will enter a CAA Action record using the generic meeting number (1154).

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D. All other inspector attendees at those meetings will an Action Record using the Action Number 1*004A = Assist Another Inspector with Certification.*.

5.5.7 INITIAL APPLICATION REVIEW PHASE

A. During the Initial Application Phase, the CPC (or his designee) will be the person that enters the prime Action numbers.

- The other inspector attendees will enter an Action Record using the Action Number 1*004A = Assist Another Inspector with Certification.*

B. The prime Action number for the meetings that can be held during the initial application phase are—

Action	Activity Number	Activity D
Use	1154	Conduct Certification-Related Formal Meeting
Use	1154A	Conduct Pre-Application meeting
Use	1154B	Conduct Initial Application Review Meeting
Use	1154C	Conduct Application Rejection Meeting
Use	1154D	Conduct Application Acceptance Meeting

C. A key part of the Initial Application Review Phase is a determination that the application and documents are in an acceptable condition to begin the actual inspector assessment work.

D. The prime Action numbers that indicate that these “General Certification” application documents are satisfactory are--

Action	Activity Number	Activity I
Use	1155	Initial Acceptance Evaluations
Use	1155A	Initial Eval: Management Qualifications
Use	1155B	Initial Eval: Conformance Reports
Use	1155C	Initial Eval: Schedule of Events
Use	1155D	Initial Eval: Organiz Complexity Information
Use	1155E	Initial Eval: Operations Manuals
Use	1155F	Initial Eval: Maintenance Manuals
Use	1155G	Initial Eval: Leases and Contracts
Use	1155H	Initial Eval: Forms/Cards/Chklists

5.5.8 PLANNING THE MINIMUM CERTIFICATE EVENTS

A. After the formal application acceptance meeting, the CPC should plan the minimum certification events that must occur during the remainder of the certification process.

B. There is detailed guidance on the planning of these minimum certification events in Help Chapter 6. This guidance recommends the minimum document evaluation and inspection events that have to be accomplished successfully prior to certification.

C. The “Planned Certification Summary” (standard report) should be printed out for the CPC use. It should be filed in the Completed Certification Report document that the CPC should be compiling throughout the certification.

5.5.9 DOCUMENT EVALUATION AND APPROVALS

A. Each of the documents listed BY RECORD ID in the Certification Planning Report as “M-records” must be approved before the demonstration flights may be conducted.

The key point here is that the ACTION TAKEN for each of these RESERVED RECORDS evaluations must be A=Approved/Accepted.

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B. When an inspector is assigned to undertake a particular minimum certification document evaluation, that evaluation will not usually be accomplished in one day. The inspector should not use the RESERVED RECORD ID for that evaluation.

C. Instead, the inspector should enter a new record using that Action number and enter the Action Taken as I=In Work. This method should be used each day the evaluation is undertaken until the inspector has made a decision regarding the acceptability of the document.

D. If the inspector's decision is that the document is currently not acceptable, a new record using that Action number will be completed with the Action Taken as D=Disapproved/Returned.

> Do not use the reserved evaluation Record ID number to enter "In-Work" or "Disapprovals.

E. If the inspector's decision is that the document is acceptable, the CAA Action file containing the RESERVED RECORD ID will be used and the Action Taken will be A=Approved/Accepted.

5.5.10 INSPECTIONS AND DEMONSTRATIONS

A. Each of the inspections listed BY RECORD ID in the Certification Planning Report as "M-records" must be accomplished in a satisfactory manner before the Air Operator Certificate is issued.

> The key point here is that the ACTION TAKEN for each of these RESERVED RECORDS evaluations must be S=Satisfactory.

B. When an inspector is assigned to undertake a particular minimum certification inspection, that inspection must be accomplished in a single day.

C. If the inspector's decision is that the inspection was not satisfactory, a NEW RECORD using that particular Action number will be completed with the Action Taken as F=Follow-Up Required.

> Do not use the reserved inspection Record ID number to enter "Follow-up Required."

D. If the inspector's decision is that the inspection is satisfactory, the CAA Action file containing the RESERVED RECORD ID will be used and the Action Taken will be S=Satisfactory.

E. There will be some demonstration meetings that do not appear in the Certification Planning Report that should be considered in this period of time. These meetings are intended to pre-brief the applicant and their personnel regarding the methodology and expectations of the Inspectorate—

Use	1154E	Conduct Pre-Evac Demo Meeting
Use	1154F	Conduct Pre Demo Flight Meeting

5.5.11 DEMONSTRATION AND VALIDATION FLIGHTS

A. The demonstration flight Action number will be entered by the CPC for each demonstration flight that is conducted.

Use	1157C	Conduct Demonstration Flight
Use	1157D	Conduct Validation Flight

B. For the same flight, both the CPC and all other inspectors participating will be completing individual inspection Action number, depending on what portion of the maintenance or operations they were inspecting.

> Remember to use an MCE inspection record if the results of the particular task were satisfactory.

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C. For cargo flights, the validation flight Action number will be entered by the person leading the validation flight process. All other participating inspectors will enter the individual inspection Action number applicable to the task they are completing.

5.5.12 FINAL CERTIFICATION ACTIONS

A. The final certification Action numbers to document the issuance of approval letters and final documents are found under “Meetings and Documents.”

B. Separate CAA Action records should be entered for each approval or acceptance document issued.

C. The final record of certification will normally be the issuance of the Operations Specifications and AOC.

End of Chapter

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Chapter 6
Data Quality Coordinator Functions

This chapter addresses the policies and procedures that should be used by the Data Quality Coordinator provide standardized selection for critical fields to ensure the consistency of data in the CAA Action sub-tables.

6.1 DATA QUALITY COORDINATOR

6.1.1 DATA QUALITY COORDINATOR FUNCTIONS & RESPONSIBILITIES

CAAs that are serious about the quality of the database records, assign one or more qualified inspectors to —

1) Make the necessary inputs to CASORT drop-down menus to ensure the consistent quality of the data that is input from those menus;
2) Process the gang-uploads of planned events to ensure that the complete data is input into the databases;
3) Periodically review the quality of the data in the system through keyword searches and extraction of standard reports; and
4) Make recommendations to management to improve the quality of the data; a
5) Provide formal and OJT training to new employees for the proper data entry methodology;
6) Assist other inspectors with questions regard ind the data entry methodology; and
7) Periodically provide briefings to the workforce regarding data entry methodology.

6.1.2 DATA QUALITY COORDINATOR QUALIFICATIONS

The Data Quality Coordinator(s) qualifications should include —

1) Qualified operations or airworthiness inspector (or one of each);
2) Demonstrated capability to make consistent data entry;
3) A person with identified higher-level computer skills; preferably
   (a) MS Word;
   (b) MS Excel;
   (c) MS Powerpoint
4) Demonstrated one-or-one training capability.

6.1.3 DATA QUALITY COORDINATOR TRAINING

A. The Data Quality Coordinator should complete training on the CASORT databases, including —

1) DQC entries of Action drop-down menus for
   (a) Organizations,
   (b) Locations,
   (c) Aircraft MMS,

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(d) Project Numbers,

2) Employee Qualification database entries to include entries for —
   (a) Training courses
   (b) Training ins it ut ions
   (c) Resumes
   (d) Aircraft qualification
   (e) Formal training
   (f) OJT Training
3) Inspector Action entries for —
   (a) Administration actions
   (b) Inspections,
   (c) Evaluations,
   (d) Investigation, and
   (e) Certification;
4) Inspector Safety Issue entries, including risk assessment and mitigation;
5) Development and upload of planned events for —
   (a) Minimum Required Annual Inspections
   (b) Minimum Certification Events
   (c) Employee Training Plans
   (d) Expiring Documents
6) Certification team entries, completion of MCE, and development of credible certification reports
7) Completion of MRAI planned events and extraction of credible certification reports.

6.2 CREATING & EDITING CAA ACTION LOCATIONS SUB-TABLE INFO

The purpose of this section is to discuss the recommended method for creating and editing LOCATION information in the CAA Action database software.

- Failure to use the methodology outlined in this section will result in unstandardized information in the summary reports generated by the database.
- There are no provisions in the database for deleting locations, only revision. The revision may only be made BEFORE the first selection by a user in a CAA Action record.
- A revision to the location after this event may corrupt the previous CAA Action records that used the original selection.

6.2.1 ICAO LOCATION IDENTIFIERS

A. The summary reports are configured to use the ICAO 4-Letter Location Identifiers.

B. This allows the reports to compress airport identification into a short, but meaningful format, rather than use the much longer formal airport names.

- It is important to the summary reports that this entry be in the ICAO format.
- The use of locally-derived identifiers could compromise the validity of summary reports due to unstandardized entries.

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C. The creators of the database have provided a "starter pack" of 700+ "international airports.

- These are the airports where the country provides customs and immgration services.
- These airports will be the primary locations that airlines in international operations will be using.
- An additional list of ICAO identifiers for 20,000 airports provided under a link in the CASORT Help Contents
- DGCs should use this list to add new Location Ids.
- For local airports, a good source is to "Google" search for the specific airport name. The DGC will be able to find both the ICAO Identifier and the IATA designator through this method.

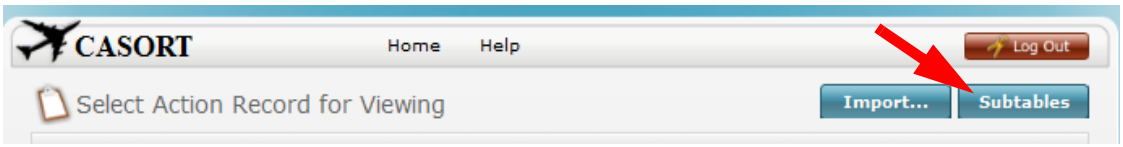
6.2.2 CREATION OF NEW LOCATION

A. The Data Quality Coordinator desiring to create a new airport in the sub-table should —

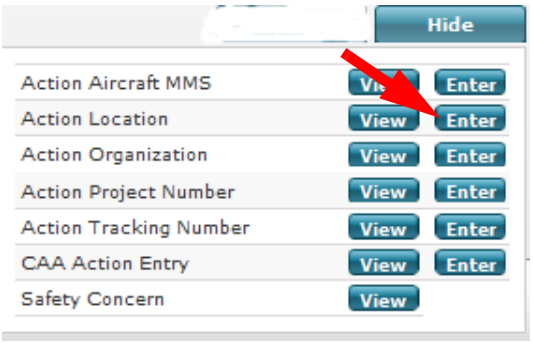
> The CASORT development team recommends that – in the interest of standardization - normal users be restricted from making the direct entry pending coordination with the Data Quality Coordinator to ensure that the Location Identifier is correct and unique.

1) From the ***Home page> CAA Action Records***, select ***View***;

2) From the View Page, select the link ***Sub-tables;***



3) This will drop-down the list of available Action sub-tables, move cursor to and select the Action Location ***Enter*** button .



4) This will bring up the ***Create Location*** page.

Create/Edit Location

Location ID *	KLAX
Airport Name	Los Angeles International
City	Los Angeles
State/Province	California
Country	United States
Active	Yes / No

5) Enter the 4-letter ICAO Identifier for the new airport in the LOCATION ID entry field;

6) Enter the airport name in the appropriate field (the field has only 26 character spaces);

7) Enter the nearest large city associated with this name;

8) Enter the State or Province name, if appropriate;

9) Enter the abbreviated name of the country (again the 26 character spaces limitation applies);

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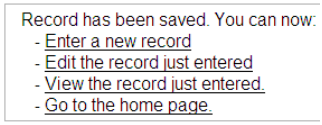
10) Make sure that the default program entered a ***Yes*** for ACTIVE if the airport is to be "Primary" list. (Enter ***No*** if the airport is to be on the "Expanded" list.

- Location Identifier is the only required entry field to save this record.
- Do not enter the word "airport" as a part of the name.

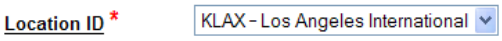
11) Select ***GO***;

12) This action will cause the ***Record Saved*** menu to appear;

13) Select link ***View the record just entered*** to check it for accuracy before returning to the Home Page; and/or


Record has been saved. You can now:
- Enter a new record
- Edit the record just entered
- View the record just entered.
- Go to the home page.

14) A second check would be to navigate to the CAA Action Entry Form and select the drop-down menu for ***Location ID*** to view the primary airports list for the new location that was saved.



6.2.3 MOVING A LOCATION FROM THE PRIMARY LIST

A. It is important to keep the drop-down menu "browse" list to only the "primary" locations routinely used by the Inspectorate.

All other locations should be moved to the "Expanded" list so that they only appear when the user would like to select a location that is not used often.

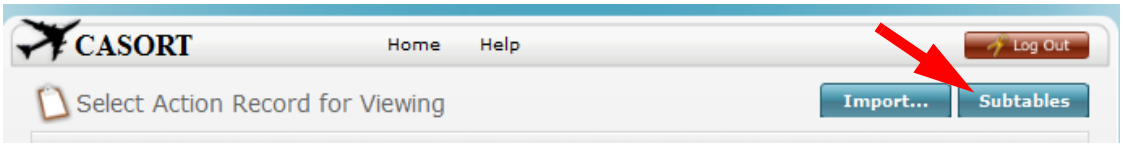
B. Without the capability to separate the "primary" from the "Expanded" airports, the default LOCATION View pages could become very cumbersome.

- Deactivation does not delete the location from the airport list.
- The airport will remain in the list, but the user must make a search for all locations in order to view both the activated and deactivated airports.

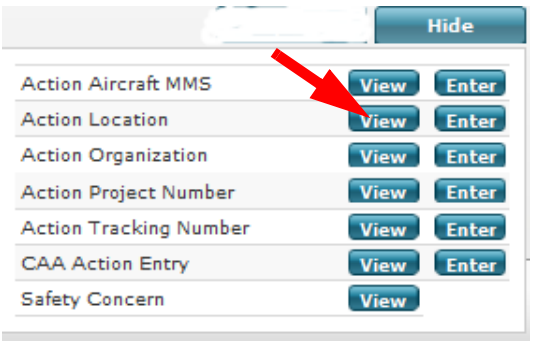
C. The steps for moving the LOCATION (changing a location from primary to secondary) are —

1) From the Home page> CAA Action, select the link ***View***.

2) From the View Page, select the link ***Sub-tables;***



3) This will drop-down the list of available Action sub-tables, move cursor to and select the Action Location ***View*** button .



4) The VIEW page for the LOCATIONS primary list of locations will appear;

5) Select the underlined word ***View*** for the airport that is to be moved;

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6) That action will bring up the VIEW/PRINT/EDIT page for the airport;

7) Select ***EDIT***;

8) On the EDIT page, under PRIMARY (yes/no), select ***NO***; and

6.2.4 REVISION OF LOCATION STATUS

To move the location back to "primary", follow all steps of paragraph 6.1.3, except at step 9, select ***YES***.

6.2.5 DELETION OF A LOCATION

There is no provision for deletion of a location from the list; only the ability to overwrite any initial entry errors. The CASORT development team recommends that no further revision to the location identifier, airport name or location be done after the users have been inputting CAA Action data.

6.3 CREATING & EDITING AIRCRAFT MMS SUB-TABLE INFO

The purpose of this section is to discuss the recommended method for creating or editing AIRCRAFT MMS (*make, model, series*) sub-table information in the CAA Action database software.

- Failure to use the methodology outlined in this section may result in unstandardized entries in the summary reports generated by the database.
- There are no provisions in the database for deleting Aircraft MMS that have been entered, only revision. The revision may only be made BEFORE the first selection by a user in a CAA Action record. A revision to the Aircraft MMS after this event may corrupt the previous CAA Action records that used the original selection.

6.3.1 AIRCRAFT MMS DESIGNATIONS

A. The summary reports are configured to use the aircraft type designation format of manufacturers model number), *followed by a dash plus the series number,* such as B737-100 (representing Boeing [make] 737 [model] and -100 [series]. The same methodology should be used for small aircraft.

- The creators of the database have provided a starter pack of 100+ aircraft MMS of the primary aircraft used worldwide in airline operations.
- If the aircraft MMS does not appear in this list, the BEST source for this information is the manuafacturers Type Data Sheets.

B. An example of the proper entry to be inserted in the AIRCRAFT MMS would be—

1) The type designation abbreviation for a Dehaviland Dash 8 is shown as a DHC8. This is the abbreviation for the make (Dehaviland) followed by the model number (8).

2) This aircraft model has been manufactured in more than one series.

3) So the proper entry of the AIRCRAFT MMS would be DHC8-300 or DHC8-311 depending on the actual series being used by an operator.

4) Other examples would include aircraft for which there were many series of the same model, such as the Boeing 737. The MMS entry would be one of the following: B737-100, B737-200, B737-300, B737-700, B737-800, B737-BBJ

While it would be permissible to have the generic B737 listed as an MMS, it is important to the Inspectorate functions to know the exact series, where possible.

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C. The Data Quality Coordinator adding a new AIRCRAFT MMS entry should consult the manufacturer's Type Data Sheet for that aircraft.

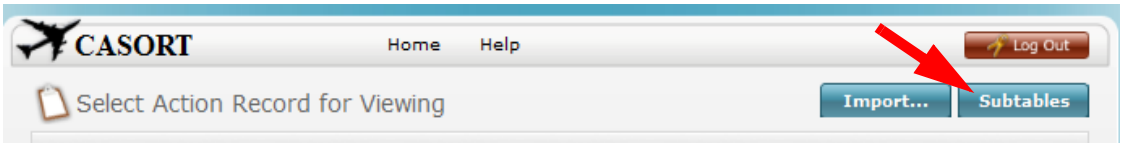
> It is important to the summary reports that this AIRCRAFT MMS sub-table entry be made in a standardized manner.

6.3.2 CREATION OF NEW AIRCRAFT

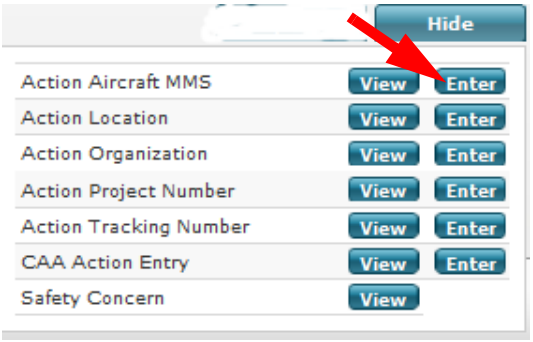
A. The Data Quality Coordinator desiring to create a new Aircraft MMS in the sub-table should —

1) From the ***Home page> CAA Action Records***, select ***View***;

2) From the View Page, select the link ***Sub-tables;***



3) This will drop-down the list of available Action sub-tables, move cursor to and select the Action Aircraft MMS ***Enter*** button .



4) This will bring up the ***Create/Edit Aircraft MMS*** page.

5) Enter the prescribed aircraft make/model designation, plus the series into the ***Aircraft MMS*** entry field;

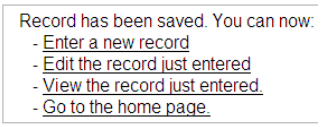
6) Enter the aircraft manufacturer's generic business name in the ***Manufacturer*** (the field has only 26 character spaces);

- ♦ Because the character spaces are limited, it is not necessary to enter the full name of the manufacturer, just the common name.

7) Make sure that the default program entered a ***Yes*** for ACTIVE if the aircraft is currently in use in the jurisdiction of the Inspectorate;

8) Select ***GO***;

9) This action will cause the ***Record Saved*** menu to appear;


Record has been saved. You can now:
- Enter a new record
- Edit the record just entered
- View the record just entered.
- Go to the home page.

10) Select link ***View the record just entered*** to check it for accuracy before returning to the Home Page; and/or

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11) A second check would be to navigate to the CAA Action Entry Form and select the drop-down menu for ***Aircraft MMS*** to view the primary airports list for the new location that was saved

6.3.3 DEACTIVATION OF AN AIRCRAFT

A. It is important to keep the drop-down menu "browse" list to only the AIRCRAFT MMS that are currently operating under the supervision of the Inspectorate. All other Aircraft MMS should be moved to the "inactive" list.

B. Without the capability to deactivate an AIRCRAFT MMS, the default Aircraft view pages could become very cumbersome.

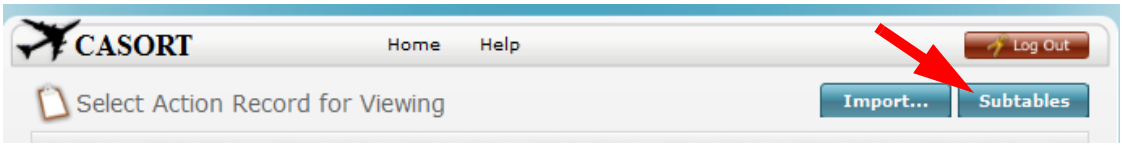
- Deactivation does not delete the AIRCRAFT from the aircraft list.
- The aircraft will remain in the list, but the user must make a radial button selection of "inactive" or "all" to see these aircraft.

C.

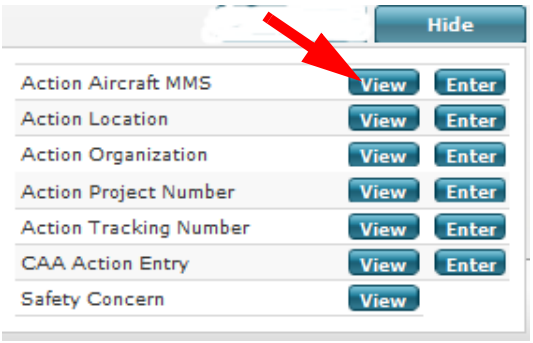
D. The steps for moving the Aircraft MMS (changing a Aircraft MMSfrom primary to secondary) are —

1) From the Home page> CAA Action, select the link ***View***.

2) From the View Page, select the link ***Sub-tables;***



3) This will drop-down the list of available Action sub-tables, move cursor to and select the Action Aircraft MMS ***View*** button .



4) The VIEW page for the Active list of Aircraft MMS will appear;

5) Select the underlined word ***View*** for the Aircraft MMS that is to be moved to the Inactive list;

6) That action will bring up the VIEW/PRINT/EDIT page for the AIRCRAFT MMS;

7) Select ***EDIT***;

8) On the EDIT page, under ACTIVE (yes/no), select ***NO***; and

9) Select ***G***o.

6.3.4 REACTIVATION OF A DEACTIVATED AIRCRAFT

To reactivate the AIRCRAFT MMS, follow all steps of the deactivation process, except at step 9, select ***YES***.

6.3.5 DELETION OF AN AIRCRAFT MMS

There is no provision for deletion of an MMS from the list; only the ability to overwrite any initial entry errors. The CASORT development team recommends that no further revision to the Aircraft MMS or

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Manufacturer be allowed after the users have been inputting CAA Action data using the original MMS.

6.4 CREATING & EDITING CAA ACTION ORGANIZATION SUB-TABLE INFO

The purpose of this section is to discuss the recommended method for creating and editing ORGANIZATION sub-table information in the CAA Action database software.

- Failure to use the methodology outlined in this section may result in unstandardized entries in the summary reports generated by the database.
- There are no provisions in the database for deleting Organizations that have been entered, only revision. The revision may only be made BEFORE the first selection by a user in a CAA Action record. A revision to the Organization after this event may corrupt the previous CAA Action records that used the original selection.

6.4.1 ORGANIZATION (CERTIFICATE) IDENTIFIERS

A. The summary reports are configured to use 5-Letter ORGANIZATION (Certificate) IDENTIFIERS.

- This allows the reports to compress organization identification into a short, but meaningful format, rather than use the much longer formal organization business names.

B. The first two letters (followed by a hyphen) are is used to represent the type of organization certificate that this ORGANIZATION IDENTIFIER is associated with.

C. An example method that has been used by a number of CAAs is —

1) AO = Air Operator (Used for commercial air transport operations involving scheduled passenger operations in aircraft with 20 or more passenger seats.)
2) AT = Approved Training Organization
3) AW = Aerial Work Organization
4) **BO** = Air Operator (Used for commercial air transport operations involving non-scheduled or cargo operations in aircraft with more than 20 passenger seats and/or payload of more than 15,000 kgs.)
5) CO = Air Operator (Used for commercial air transport operations involving aircraft with 10 to 20 passenger seats.)
6) DO = Air Operator (Used for commercial air transport operations involving aircraft with 9 or less passenger seats.)
7) FO = Foreign AOC Holder with authority to operate into State
8) MO = Approved Maintenance Organization
9) NC = Non-Certificated Organization (Used to track those “general aviation operations” accomplished by organizations
10) PD= Approved Materials & Parts Distributor.

D. The suggested method for establishing the 5-letter ORGANIZATION IDENTIFIER is to use the last three letters as unique initials for the organization.

It is important to the summary reports that the Organization Identifiers are entered in a consistent manner.

1) Obvious examples would include “TME” for Timely Maintenance Efforts, Inc., or “AAA” for Aero Aces Airlines.

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2) Not so obvious examples would include "ORR" for Oscars Flying Organization or "ABL" for Ables Aviation Repair.

3) Regardless of the three letter initials chosen, they will become quickly imprinted in the users' brain as associated with the ORGANIZATION they represent.

E. The Data Quality Coordinator adding a new CAA Action Organization entry in the sub-table should ensure that the Organization data collection files are also completed.

6.4.2 CREATION OF NEW CAA ACTION ORGANIZATION

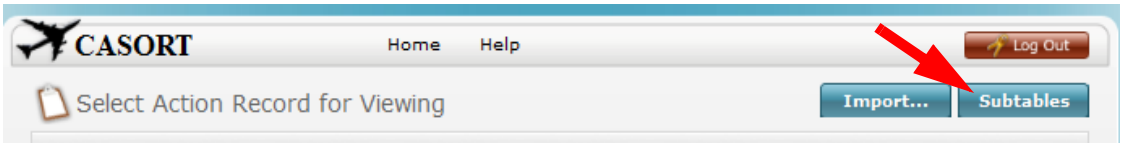
A. The default settings in this software will NOT allow the user to insert a *new* ORGANIZATION into the list – while in the process of making a CAA Action entry.

The CASORT development team recommends that – in the interest of standardization - normal users be restricted from making the direct entry pending coordination with the Data Quality Coordinator to ensure that the Organization is correct and unique.

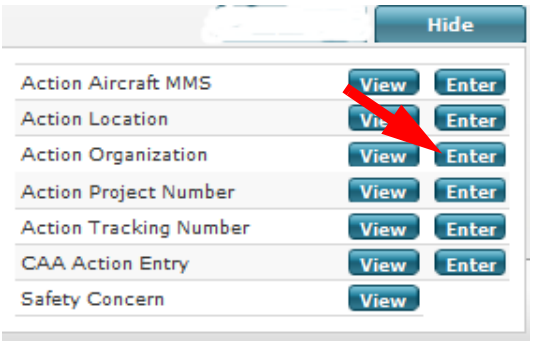
B. The Data Quality Coordinator desiring to create a new airport in the sub-table should —

1) From the ***Home page> CAA Action Records***, select ***View***;

2) From the View Page, select the link ***Sub-tables;***

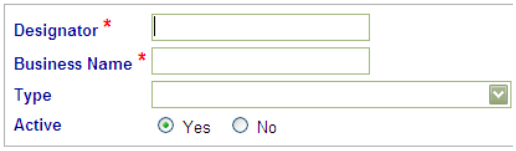


3) This will drop-down the list of available Action sub-tables, move cursor to and select the Action Location ***Enter*** button .



4) This will bring up the ***Create/Edit CAA Action Organization*** page.

5) Enter the 4-letter Organization Identifier for the new organization certificate in the ORGANIZATION entry field;



6) Enter the organization's business name in the appropriate field (the field has only 26 character spaces);

Because the character spaces are limited, it is not necessary to enter the word "Incorporated" "Limited" or other indications of corporate status.

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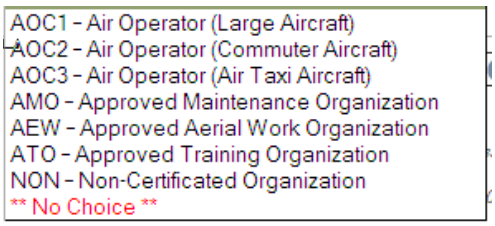
7) From the "Certificate Type" drop-down sub-table, enter the certificate type that best describes the certificate associated with this ORGANIZATION IDENTIFIER;

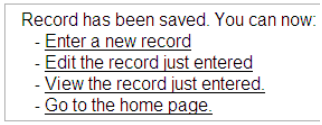

AOC1 - Air Operator (Large Aircraft)
AOC2 - Air Operator (Commuter Aircraft)
AOC3 - Air Operator (Air Taxi Aircraft)
AMO - Approved Maintenance Organization
AEW - Approved Aerial Work Organization
ATO - Approved Training Organization
NON - Non-Certificated Organization
** No Choice **

8) Make sure that the default program entered a ***Yes*** for ACTIVE if the organization is currently active under the jurisdiction of the Inspectorate;

9) Select ***GO***;

10) This action will cause the ***Record Saved*** menu to appear;

11) Select link ***View the record just entered*** to check it for accuracy before returning to the Home Page; and/or


Record has been saved. You can now:
- Enter a new record
- Edit the record just entered
- View the record just entered.
- Go to the home page.

12) A second check would be to navigate to the CAA Action Entry Form and select the drop-down menu for ***CAA Action Organization*** to view the primary CAA Action Organizations list for the new organization just saved

6.4.3 DEACTIVATION OF A CAA ACTION ORGANIZATION

A. It is important to keep the drop-down menu "browse" list to only the active organizations. *Those organizations currently holding certificates or in the certification process are considered "active."* All other organizations should be removed from the default "active" list.

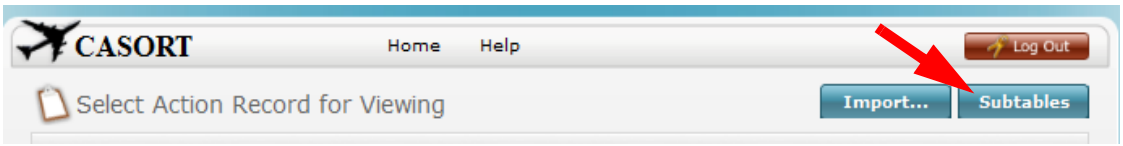
B. Without the capability to deactivate a CAA Action Organization, the default organization view pages could become very cumbersome.

- Deactivation does not delete the ORGANIZATION from the organization list.
- The organization will remain in the list, but the user must make a search for "all" organizations in order to view both the activated and deactivated organizations.

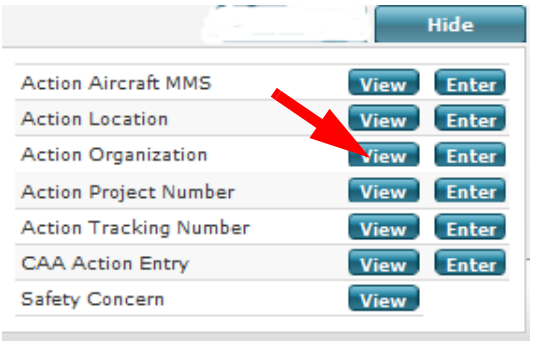
C. The steps for moving the ORGANIZATION (changing a Organization from active to inactive) are —

1) From the Home page> CAA Action, select the link ***View***.

2) From the View Page, select the link ***Sub-tables;***



3) This will drop-down the list of available Action sub-tables, move cursor to and select the Action Organization ***View*** button .



4) The VIEW page for the active list of CAA Action Organizations will appear;

5) Select the underlined word ***View*** for the Action Organization that is to be moved to the Inactive list;

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6) That action will bring up the VIEW/PRINT/EDIT page for the CAA Action Organization;

7) Select ***EDIT***;

8) On the EDIT page, under ACTIVE (yes/no), select ***NO***; and

9) Select ***GO.*** (The database has now moved this CAA Action Organization to the list of "Inactive" organization.)

6.4.4 REACTIVATION OF A DEACTIVATED CAA ACTION ORGANIZATION

To reactivate the CAA Action Organization, follow all steps of the deactivation process, except at step 9, select ***YES***.

6.4.5 DELETION OF A CAA ACTION ORGANIZATION

There is no provision for deletion of an organization from the list; only the ability to overwrite any initial entry errors. The CASORT development team recommends that no further revision to the organization identifier, organization name or certificate type be done after the users have been inputting CAA Action data using that organization.

6.5 CREATING & EDITING CAA ACTION CONNECTING SUB-TABLE INFO

The purpose of this section is to discuss the recommended method for creating and editing file-connecting numbers for the following sub tables—

- Project number
- Tracking number

6.5.1 ENTERING THE CONNECTING NUMBER

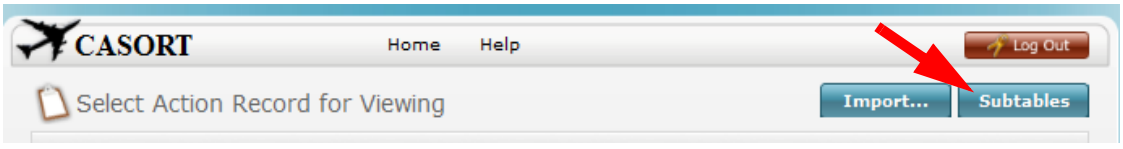
The process of entering a connecting Control Number in one of these sub-tables to use for the purpose of connecting related records is—

1) The user advises the Data Quality Coordinator who will generate the new addition of the—
   - ♦ Need for a new number
   - ♦ Connecting field to be used
   - ♦ Control Number
   - ♦ Suggested title tag

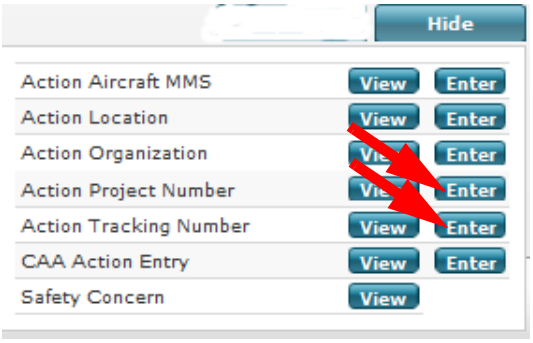
2) The DQC entering the proposed Project or Traicking Number will go to the Home Page and select CAA Actions ***Enter*** button;

   - ♦ The permission to accomplish the following steps is usually only available for the DQC.

3) From the View Page, select the link ***Sub-tables;***



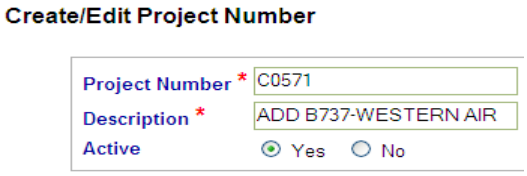
4) This will drop-down the list of available Action sub-tables, move cursor to and select the Action Project or Tracking Number ***Enter*** button .



5) The person entering the new Project or Tracking Number will select one of these sub-tables;

   - In this case, the Control Number [0571] will be used to connect the records used in a certification process, so the selection will be ***CAA Action Project Number***.

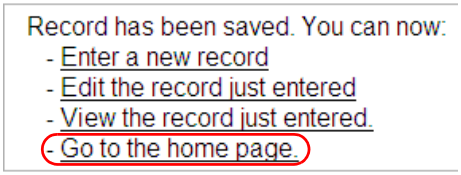
6) This selection will bring up a "Create/Edit Project Number" page. The Active radial button defaults to YES. The two other fields are blank. [This is also true of the Tracking Number connecting fields.]



7) Complete the Project Number and Description fields, then select ***GO***.

Recommend that the description include the operator name and a brief identifying phrase. This will make it easier for other users to quickly select the proper project number.

8) The user should get a saved screen. DO NOT return to the record just entered. Select ***Go to the Home Page***.


Record has been saved. You can now:
- Enter a new record
- Edit the record just entered
- View the record just entered.
- Go to the home page.

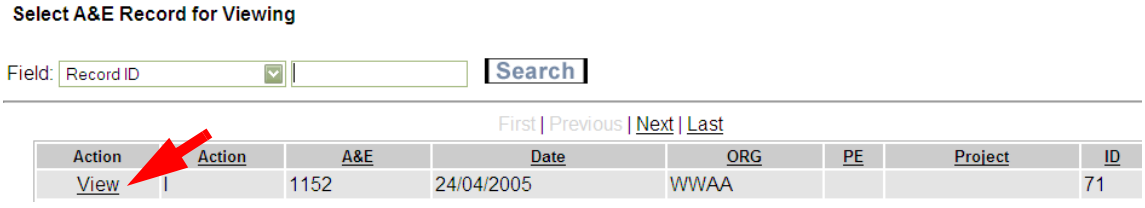
6.5.2 CHECK THE NEW RECORD

It will usually be timely if the Data Quality Coordinator makes sure that the new PROJECT or TRACKING number is attached to the initiating record —

1) Select the CAA Action ***View***;button

   - Usually the inspector will have just put the initiating record into the system, so RECORD ID "71" will be near the top of the view screen. (If not, select the ID column header to re-order the number to see it).

2) Select "View" to see the complete record.



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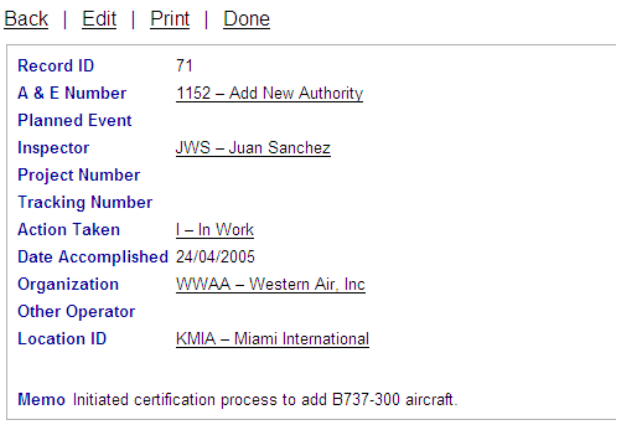
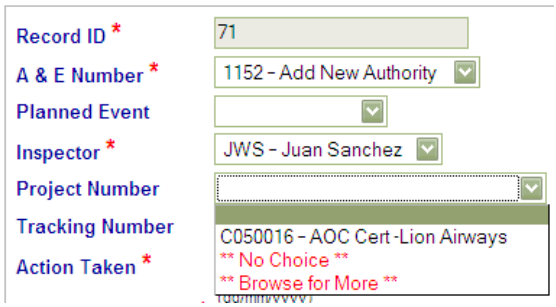
3) This will bring up the record. Now select ***Edit***"


Back | Edit | Print | Done
Record ID 71
A & E Number 1152 – Add New Authority
Planned Event
Inspector JWS – Juan Sanchez
Project Number
Tracking Number
Action Taken I – In Work
Date Accomplished 24/04/2005
Organization WWAA – Western Air, Inc
Other Operator
Location ID KMIA – Miami International
Memo Initiated certification process to add B737-300 aircraft.

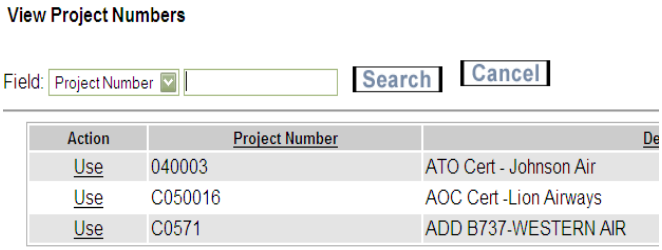
4) Now go to the Project or Tracking Number field and select the drop-down menu arrow. This action will provide two primary choices—

   - A list of the last records selected by the inspector for this field. (Since this is new number, it will not be in this list.)
   - "Browse for More"



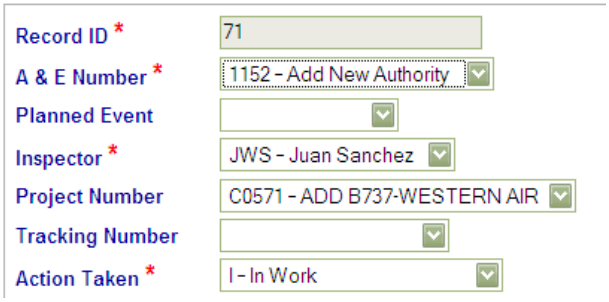
5) Select ***Browse for More*** to see the list of active Project or Tracking numbers;

6) From the list, select ***USE*** for the number the user just created [C0571].



7) That action should add the project/ tracking number to the initiating record;

8) Select ***GO*** and exit the process.



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6.5.3 DEACTIVATING A CONNECTING (PROJECT OR TRACKING) NUMBER

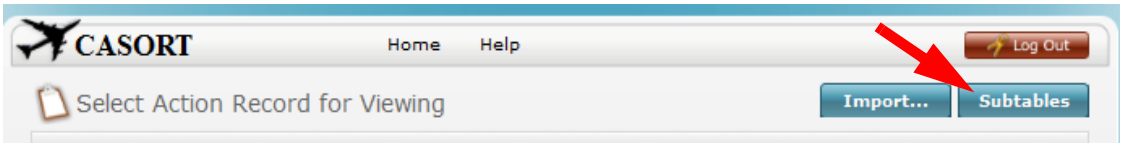
When the project requiring the Project or Tracking Number is completed it will be necessary to deactivate the number so that it does not appear in the active list.

- Most CAAs have the ability to deactivate a number restricted to management.
- Deactivating the numbers that are no longer in current use by the inspectors is necessary to keep the list from becoming cumbersome.
- Deactivating a number does not take it out of the database. It is still accessible by browsing all files.

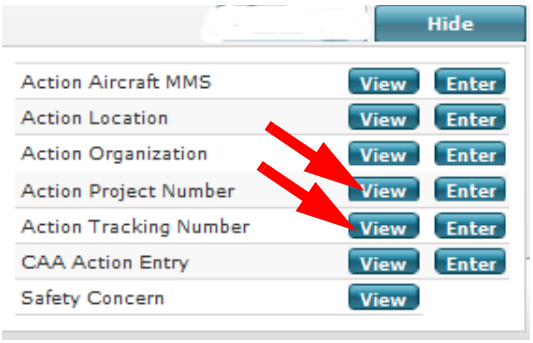
A. The steps for deactivating a Project Number or Tracking Number —

1) From the Home page> CAA Action, select the link ***View***.

2) From the View Page, select the link ***Sub-tables;***



3) This will drop-down the list of available Action sub-tables, move cursor to and select the Action Project or Tracking Number ***View*** button .



4) In this particular example, the user will select project number 0571 to deactivate.

5) The selection of ***VIEW*** for project number 0571 will bring up the VIEW screen for this number.

Action	Project Number	Description	Active
View	040003	ATO Cert - Johnson Air	Yes
View	C050016	AOC Cert -Lion Airways	Yes
View	C0571	ADD B737-WESTERN AIR	Yes

6) The selection of ***EDIT*** will provide the Edit Screen

A&E Project Number

Back | Edit | Print | Done

Project Number	C0571
Description	ADD B737-WESTERN AIR
Active	Yes

Back | Edit | Print | Done

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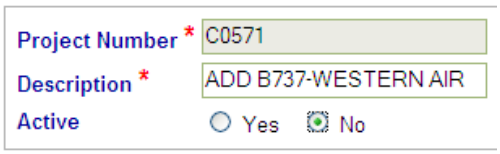
7) In the Active field, click ***NO***,

8) Click ***GO*** to complete the process.



6.5.4 REACTIVATION OF AN OLD CONTROL (CONNECTING) NUMBER

Follow the steps outlined in 6.4.4, except to select ***YES*** in step 7.

6.6 CREATING AN MS EXCEL TABLE UPLOAD

6.6.1 NEED FOR EXCEL TABLE CREATION

The Data Quality Coordinator may occasionally have a need to load a large collection of data. Through the use of an Excel Table a grouping of data may be simultaneously uploaded into the CASORT database. The discussion in this section outlines the methodology to be used.

- This section is provided primarily as a prelude to the subsequent MRAI and MCE upload sections.
- Use Excel templates for the normal uploading of MRAI or MCE records.
- The "creation" of an Excel table from zero should be reserved for special situations where there is no pre-developed template.

- Data Quality Coordinators may choose to upload the minimum events for small projects, such as a special inspection program.
- As the MS Excel table upload capability is expanded to other tables in the CASORT database, there may be situations where uploading a collection [group] of data in a single MS Excel table will be more time-effective than making separate entries.
- The CASORT development team also have templates for the uploading of a complete record set in support of the training curriculum.

6.6.2 KEY POINTS OF EXCEL TABLE CREATION

When preparing an MS Excel table for upload, there are some key points to keep in mind—

- The headers of the columns must correspond exactly to the label on the CAA Action Entry form.
- The minimum columns for any table upload must correspond to the required field for the CASORT table destination.
- The data entered into the individual cells must correspond to the allowable text in the CAA Action entry fields
- The data intended to replicate a CAA Action drop-down menu selection must be one of the exact selections possible.
- The "required" fields (those indicated by red labels) must have valid data.
- Fields included in a table that are not required to have data may be left blank for the upload.
- But a blank row in the middle of your data will cause table upload feature to ignore (not upload) any data that you may have in the rows below the blank row.
- It is permissible to make a series of small Excel tables to upload instead of one large one as long as the key interlocking fields have the key data, e.g. MRAI Planned Events = R; MCE Planned Events = P plus Project Number; and Special Projects have the same project number.

- It is very important that all headers and values be exactly as they would appear in the CAA Action Entry form.
- The form will not upload if the software detects a entry error.
- Where possible, always copy and paste the selection from the CAA Action entry form.

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6.6.3 MS EXCEL TEMPLATES ARE PROVIDED

A. In order to make the upload feature user-friendly, Excel templates are provided. These templates are included in CASORT.

B. To navigate to those templates from the Home Page, select the **HELP** tab at the top of the page.

C. The links to the templates are located at the bottom of the last column to the right.

D. The following templates are available—

1) **Action Upload-All Fields**. This template provides columns for all fields on the CAA Action Data Entry form that can be uploaded.

2) **Action Upload-MRAI Plan**. This template provides only the columns for the fields necessary to upload the files for the pre-planned ***minimum required annual inspections***.

3) **Action Upload-MCE Plan**. This template provides only the columns for the fields that will be used to upload the files for the pre-planned ***minimum certification events***.

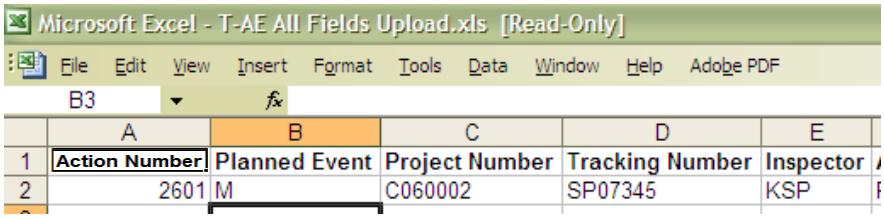
4) **Action Upload-Mgt Assignment**. This template provides only the columns for the fields that will be used to upload the files for ***assignment of tasks to employees***.

5) **Action Upload-Mgt Assignment**. This template provides only the columns for the fields that will be used to upload the files for an ***employee's training plan***.

6.6.4 PROCEDURE FOR PREPARING THE ALL FIELDS UPLOAD

1) Select the link for the **Action Upload-All Fields**;

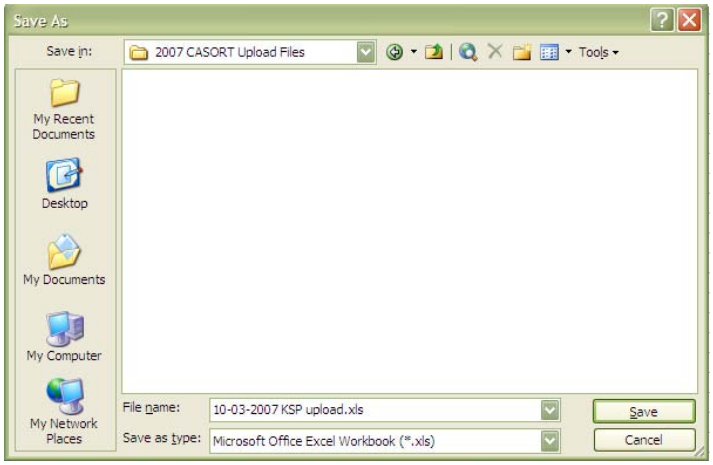
- That action should bring up the Excel "read only" template.


Microsoft Excel - T-AE All Fields Upload.xls [Read-Only]
File Edit View Insert Format Tools Data Window Help Adobe PDF
B3
A B C D E
1 Action Number Planned Event Project Number Tracking Number Inspector
2 2601 M C060002 SP07345 KSP

2) Use **File> Save As** to save a new Excel file specifically for this upload.

- The user should keep a dedicated folder for storing these upload files.

3) After typing in the new file name, double-click or click **Save**.



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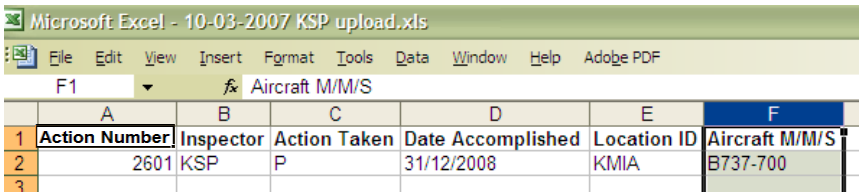
4) The resulting new file will be an Excel form with columns for all CAA Action data entry fields which will accept an upload.

5) The user may now delete the columns which he does not intend to use by highlighting the column and, with the cursor in the column, right-click for the menu. Select **Delete** and the column is gone.



	A	B	C	D	E	F
1	Action Number	Inspector	Action Taken	Date Accomplished	Location ID	Aircraft M/M/S
2	2601	KSP	P	31/12/2008	KMIA	B737-700
3						

6) Enter all of the data for 1 record into row #2;

	A	B	C	D	E
1	Action Number	Inspector	Action Taken	Date Accomplished	Location ID
2	2601A	KSP	P	30/06/2007	KMIA

- Remember that the data entered must correspond exactly to the data that is permissible in each field.
- This is especially true for those fields with drop-down menus. If the entered data is not exactly one of the choices in those tables, it will cause an upload error.

	A	B	C	D	E
1	Action Number	Inspector	Action Taken	Date Accomplished	Location ID
2	2601A	KSP	P	30/06/2007	KMIA

7)Highlight and copy the complete row #2 using the right-click menu;

♦Do not just highlight the columns with data entries. The highlight must include all empty columns to the right infinity.

8) Begin at row #3 and highlight the number of rows that correspond to your proposed number of similar records;

9) With the cursor in the highlighted area, right-click and select **paste** from the menu;

	A	B	C	D	E
1	Action Number	Inspector	Action Taken	Date Accomplished	Location ID
2	2601A	KSP	P	30/06/2007	KMIA
3	2601A	KSP	P	30/06/2007	KMIA
4	2601A	KSP	P	30/06/2007	KMIA
5	2601A	KSP	P	30/06/2007	KMIA
6	2601A	KSP	P	30/06/2007	KMIA

- This action should result in these highlighted rows filling in the data from the previously copied row.

	A	B	C	D	E
1	Action Number	Inspector	Action Taken	Date Accomplished	Location ID
2	2601A	KSP	P	30/06/2007	KMIA
3	2601B	KSP	P	31/03/2007	KMIA
4	2601C	KSP	P	30/09/2007	KMIA
5	2601D	KSP	P	31/12/2007	KMIA
6	2601E	KSP	P	31/12/2007	KMIA

10)Now modify the individual cells as necessary to make each row unique by selecting the cell and making the appropriate revision or correction on the formula line;

11)Repeat steps 4 through 8 as necessary to place all of the planned records into the MS Excel table;

12) When the record is considered complete, double-check the accuracy of the data;

This is the user's last opportunity to correct data errors on a group basis before up-loading the Excel records.

13) When satisfied with the accuracy of the data, save and close the Excel table;

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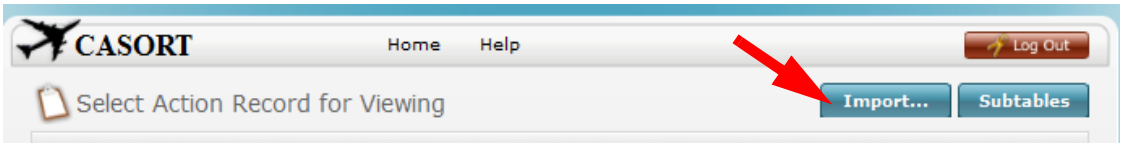
14) Log-in to the CASORT database;

- The user's first attempts at table upload should be in the "training" database.

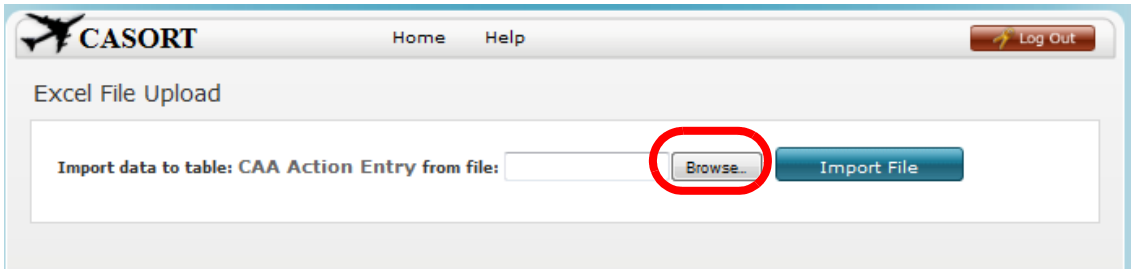
A. Select the CAA Actions ***View*** button.

B. On the CAA Action View Page, there is a button labeled ***Import.***



1) Select that button and a menu will appear;

   ♦ This upload is defaulted to the "CAA Action Entry Form."



2) Select the **Browse** button to find the specific Excel file to upload.

3) Then select **Import File**;

4) That action should result in the display of the saved records.

Data saved

Record ID	A & E Number	Inspector	Action Taken	Date Accomplished	Location ID
72	Action Number	KSP	P	30/06/2007	KMIA
73	2601B	KSP	P	31/03/2007	KMIA
74	2601C	KSP	P	30/09/2007	KMIA
75	2601D	KSP	P	31/12/2007	KMIA
76	2601E	KSP	P	31/12/2007	KMIA

♦ While the saved records are displayed, the user should do one last check for accuracy of data entries.

From this point, any data errors found will have to be corrected by editing the specific CAA Action record (using the Record ID).

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6.7 ENTERING PLANNED INSPECTION EVENTS

A. The purpose of this section is to discuss the recommended method for entering PLANNED MINIMUM INSPECTION EVENTS information in the database software.

MRAI=Minimum Required Annual Inspections

- Review the general concepts of Section 6.6 before working in this Section.

B. There are three important occasions when the minimum inspection events should be pre-planned so that the CAA Action records show completion of these events have occurred—

1) A special inspection generated by accidents or incidents;

2) A minimum required annual inspection program (MRAI); and

3) The minimum required satisfactory inspections to support the certification of an organization.

C. This section will discuss the planning of (1) and (2). Section 6.8 will discuss the planning requirements for (3).

Failure to use the methodology outlined in this section may result in unstandardized entries in the summary reports generated by the database.

6.7.1 WHY PLAN A GROUP OF INSPECTIONS?

A. Planning a series of inspections is a management function. Management determines the minimum types and numbers of inspections that will result in validation of the organization's conformance status.

Management is more aware of international standards of performance and the markers that cause accident inquiry boards and international audit groups to decide that a CAA is exercising effective safety oversight.

B. The *primary inspection marker* that these international audit groups look for is a program of PLANNED annual inspections of the CAA's approved organizations. For the purposes of this section, the acronym "MRAI" will denote that program.

C. The audit groups also look for "follow-through." Is there evidence that the CAA is accomplishing the inspections previously planned in a timely manner?

D. Records of an MRAI program showing the full annual plan and subsequent completion of that plan are critical to the international credibility of the CAA.

MRAI=Minimum Required Annual Inspections

E. When the need for a special inspection (in addition to the MRAI events) of an approved organization is identified, it is in management's interest to again determine the minimum type and number of inspection events that will have to be accomplished.

6.7.2 COMPLETE THE MRAI PLANNING FORM

A. The manager will have the inspectors assigned to accomplish certificate management of organizations complete the paper copies of the MRAI Planning Form.

B. The inspectors will review the complexity factors for their organizations.

C. Using the CAA's MRAI guidelines, the inspector will list the types, numbers and deadline dates for the minimum annual inspections for each organization.

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D. The manager, in consultation with inspectors, decides what types and numbers of inspections should be planned and subsequently conducted for immediate and/or focused inspections to validate that the air operator continues to meet the original certification requirements.

> Use of a planning document to list and sort the inspections for each of the organizations prior to insertion in the database is highly recommended.

6.7.3 ENTERING MRAI PLANNED EVENTS IN DATABASE

A. Only Data Quality Coordinator have the default authority to enter planned events (make a selection in the PE field on the CAA Action Entry Form) for their assigned inspectors.

B. There are two methods Data Quality Coordinators may use to enter Planned Events —

1) Individually (record-by-record) through the CAA Action Record Entry Forms; or

2) By using a table import from an MS Excel planning document.

> The CASORT development team strongly recommends use of the table import method.

6.7.4 MRAI: USING THE RECORD-BY-RECORD METHOD

A. The record-by-record method may be used when there is only a need to enter a small number of planned records (1 to 4). This method is more time-consuming than the table import method.

B. The Data Quality Coordinator selects the **Home Page> Enter CAA Action Record**.

C. There are seven fields that must be completed for an MRAI record—

1) ***Action Number**. The Action number for the inspection must be entered.

2) ***PE (Planned Event)**. Select the "**R=Required Inspection**" to designate this CAA Action record as a Minimum Required Inspection record.

> This selection is critical to the retrieval of the standard reports for Unfinished MRAI.

3) ***INI (Assigned Inspector)**, Select the assigned inspector from the drop-down menu.

4) ***Action (Action Taken)**. Select "**P=Planned**" as a placeholder until the actual inspection is made.

> This selection is critical to the retrieval of the standard reports for Unfinished MRAI.

5) ***Date**. Enter the last day of the calendar quarter in which the inspection is to be conducted. For example, the last day of the quarter January to March is 31/03/2004.

6) ***ORG (Organization).** Select the identifier for the organization that must be inspected.

7) ***Location**. Select the probable location where the inspection will occur.

> For proper entry in each of these fields, see paragraph D of 5.4.6 which gives a detailed description of each of the these fields.

D. There are three additional fields that may be used for an MRAI record when a specific type of aircraft (or simulator or check airman) must be inspected

1) **Aircraft**. If a specific type of aircraft should be inspected, select that type of aircraft MMS from the drop-down menu.

2) **Registration#**. If a specific aircraft should be inspected, enter the registration number.

3) **PIC number.** If a specific pilot is to be inspected (e.g. check airman, examiner or other type of designee) that pilot's certificate number should be included in the planned record.

E. After completing each record, select ***GO.***

F. Then select ***Enter A New Record Based On The Previous Record***.

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G. A new copy of the previous file is presented. The Data Quality Coordinator will then overwrite any fields necessary to enter the next MRAI record.

H. This process will be repeated until all planned MRAI inspections have been entered into the database.

The Data Quality Coordinator must be careful to cross off each proposed inspection from the MRAI Plan as they are entered into the database.

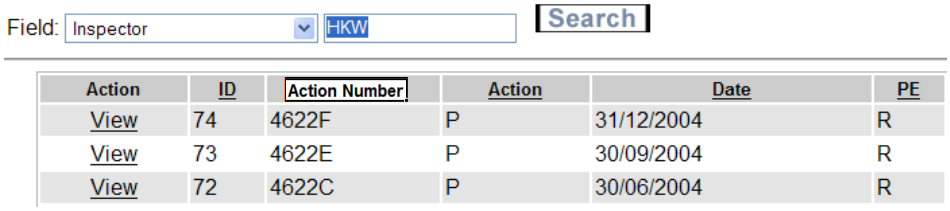
6.7.5 VIEWING THE ENTERED RECORDS

A. Another method of checking that the M-records were actually entered into the database is to go to the Home Page and select the CAAV Actions ***View*** button.

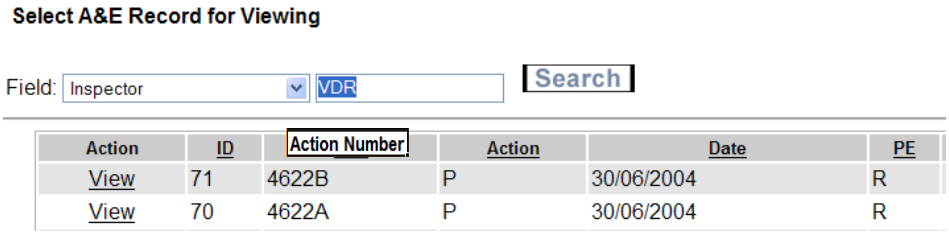
B. This will bring up the default VIEW page for the logged-in inspector.

- Enter a search for inspector "HKW." To cause the last records entered to come to the top, click on "ID

After all of the MRAI records have been entered, the user will have to click on "PE" to group the R-records together to see all MRAI inspections assigned to him.


Field: Inspector HKW Search
Action ID Action Number Action Date PE
View 74 4622F P 31/12/2004 R
View 73 4622E P 30/09/2004 R
View 72 4622C P 30/06/2004 R

C. To see the remainder of the records that were entered in the example, Enter a search for inspector "VDR." Again, to cause the last records entered to come to the top, click on ID.


Select A&E Record for Viewing
Field: Inspector VDR Search
Action ID Action Number Action Date PE
View 71 4622B P 30/06/2004 R
View 70 4622A P 30/06/2004 R

6.7.6 MRAI: USING THE TABLE IMPORT METHOD

- Review Section 6.5 and Paragraph 6.6.5 before entering the MS Excel data for MRAI planning form.

6.7.6.1 Use the Planning Forms

A. When the inspectors have completed their personal MRAI planning forms in accordance with the technical instructions, these forms will be reviewed by the Data Quality Coordinator. The acceptable forms will be provided to the DQC.

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B. The DQC will use the "Action Upload-MRAI Plan" file to consolidate all of the MRAI requirements into a single Excel file.

C. That file should be available as a template in the MS Excel software on the DQC's computer.

- The CASORT development team has included a MS Excel template read-only file labeled "Action Upload-MRAI Plan" to standardize the entry method.

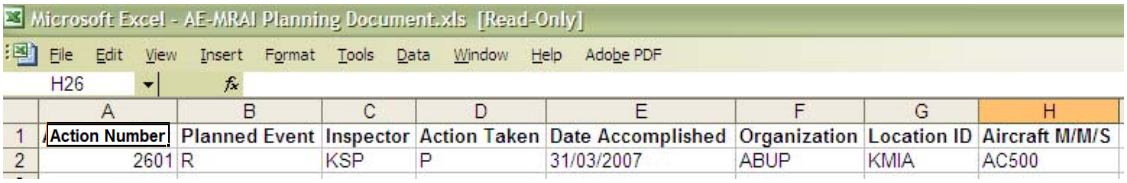
6.7.6.2 Action Upload-MRAI Plan Excel Template

A. The Action Upload-MRAI Plan template has all of the necessary column headers for MRAI entries already included.

The DQC should not modify the headers of this template.

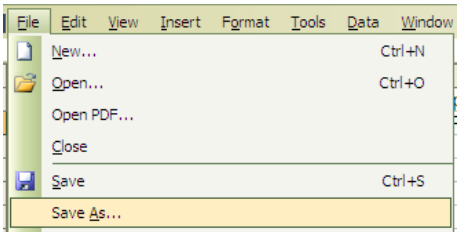
B. An example of the recommended entries is provided with the template.

- That row should be modified to contain the specific information to be uploaded (or deleted prior to the table import into the database).


Microsoft Excel - AE-MRAI Planning Document.xls [Read-Only]
File Edit View Insert Format Tools Data Window Help Adobe PDF
H26

	A	B	C	D	E	F	G	H
1	Action Number	Planned Event	Inspector	Action Taken	Date Accomplished	Organization	Location ID	Aircraft M/M/S
2	2601	R	KSP	P	31/03/2007	ABUP	KMIA	AC500

6.7.6.3 Save an Action Upload-MRAI Plan Excel Document



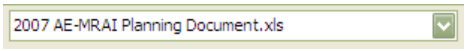
A. The first step in preparing for an Excel upload of the MRAI files will be to use the template to save a new file for the inspectors' data.

B. Select **File> Save As.** This action will bring up a "Save As" window.

C. Make sure that the appropriate folder for storage of this Excel file is selected in the upper window.

- This file should be placed in a computer folder with other planning files.

D. This Excel file should be named so that it will be easily recognized later.



- In this example, the file name will be changed to show the calendar year of the file.

E. Select **OK** and the new file will be created.

Before proceeding to the next step, stop and review Section 6.6.2. Avoid the common errors that occur during completion of the Excel form.

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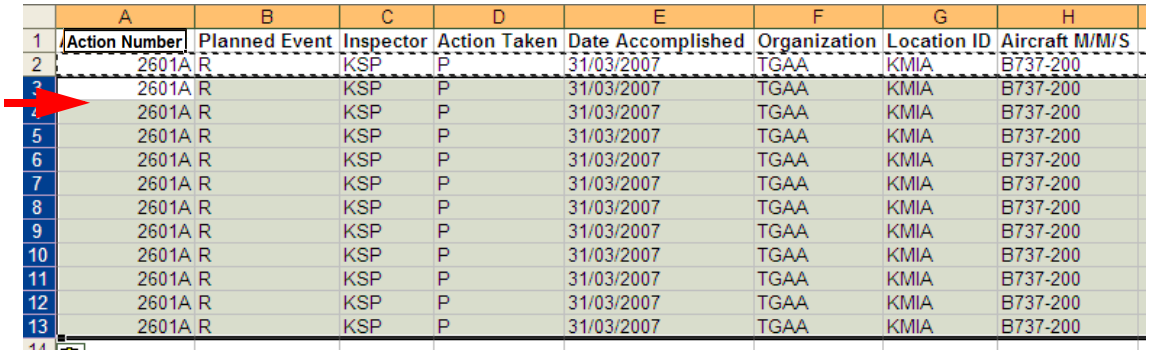
F. Now modify row #2 to include a particular inspector's planned record for a specific Action inspection number.

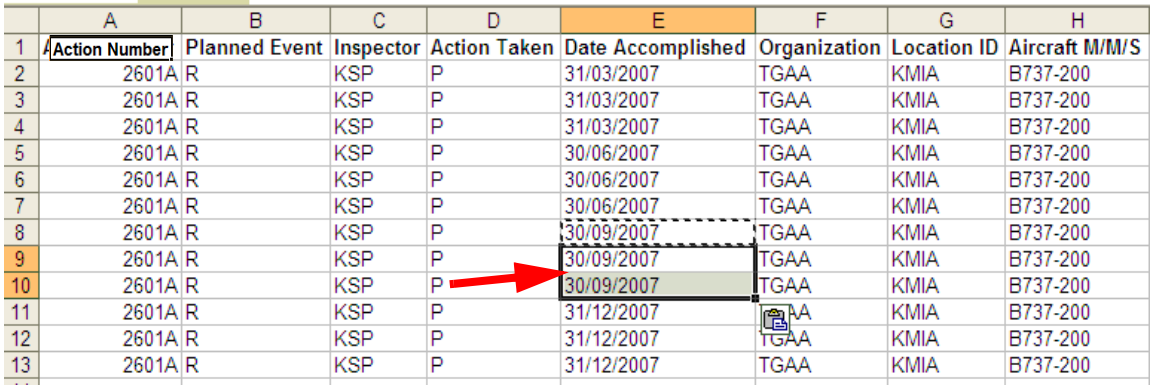
	A	B	C	D	E	F	G	H
1	Action Number	Planned Event	Inspector	Action Taken	Date Accomplished	Organization	Location ID	Aircraft M/M/S
2	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200

G. Count the number of times, that inspector must accomplish that planned inspection for that airline in the coming year. Copy the first row, then set up that number of rows and paste. The user now has 12 identical records.



	A	B	C	D	E	F	G	H
1	Action Number	Planned Event	Inspector	Action Taken	Date Accomplished	Organization	Location ID	Aircraft M/M/S
2	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
3	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
4	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
5	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
6	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
7	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
8	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
9	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
10	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
11	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
12	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
13	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200

H. Now modify the records as necessary. In the example provided, the inspector planned to accomplish 3 inspections per quarter. So the date fields should be modified to divide the records into the 4 quarters of the year by entering the last date of each quarter.



	A	B	C	D	E	F	G	H
1	Action Number	Planned Event	Inspector	Action Taken	Date Accomplished	Organization	Location ID	Aircraft M/M/S
2	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
3	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
4	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
5	2601A	R	KSP	P	30/06/2007	TGAA	KMIA	B737-200
6	2601A	R	KSP	P	30/06/2007	TGAA	KMIA	B737-200
7	2601A	R	KSP	P	30/06/2007	TGAA	KMIA	B737-200
8	2601A	R	KSP	P	30/09/2007	TGAA	KMIA	B737-200
9	2601A	R	KSP	P	30/09/2007	TGAA	KMIA	B737-200
10	2601A	R	KSP	P	30/09/2007	TGAA	KMIA	B737-200
11	2601A	R	KSP	P	31/12/2007	TGAA	KMIA	B737-200
12	2601A	R	KSP	P	31/12/2007	TGAA	KMIA	B737-200
13	2601A	R	KSP	P	31/12/2007	TGAA	KMIA	B737-200

I. The end should be one big Excel file containing all MRAI records to be entered into the database.

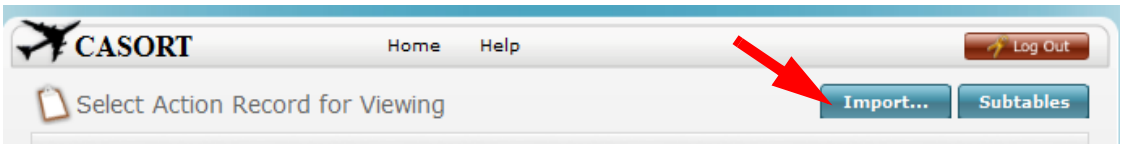
J. For historical purposes, that file should be located in a folder on the server associated with the organization or individual being inspected. Close this file.

6.7.6.4 Uploading the Action Upload-MRAI Plan Excel Document

A. From this point, it is easy to upload the data. The DQC will log into the database and go to the Home Page.

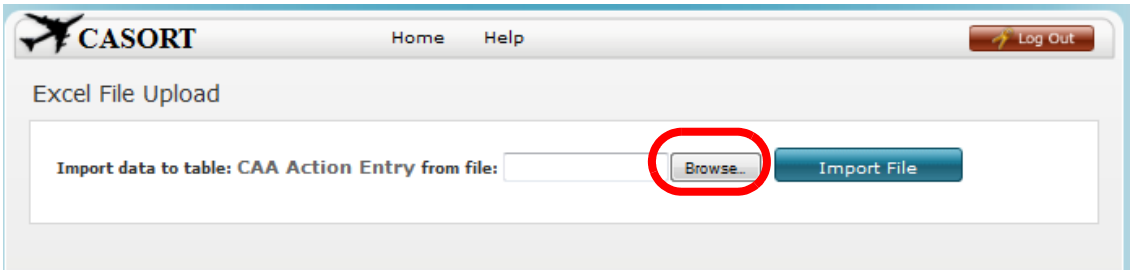
B. Select the CAA Actions ***View*** button.

C. On the CAA Action View Page, there is a button labeled ***Import.***



1) Select that button and a menu will appear;

   ♦ This upload is defaulted to the "CAA Action Entry Form."



2) Select the **Browse** button to find the specific Excel file to upload.

3) Select that file.

4) When that file is shown in the window, click on **Import File**.

5) Assuming that there are no data entry errors in the Excel file, the uploaded records will appear with the heading "Data Saved" with their newly assigned Record ID Numbers.

Data saved

Record ID	Action Number	Planned Event	Inspector	Action Taken	Date Accomplished	Organization	Location ID	Aircraft M/M/S
46	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
47	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
48	2601A	R	KSP	P	31/03/2007	TGAA	KMIA	B737-200
49	2601A	R	KSP	P	30/06/2007	TGAA	KMIA	B737-200
50	2601A	R	KSP	P	30/06/2007	TGAA	KMIA	B737-200
51	2601A	R	KSP	P	30/09/2007	TGAA	KMIA	B737-200
52	2601A	R	KSP	P	30/09/2007	TGAA	KMIA	B737-200
53	2601A	R	KSP	P	30/09/2007	TGAA	KMIA	B737-200
54	2601A	R	KSP	P	31/12/2007	TGAA	KMIA	B737-200
55	2601A	R	KSP	P	31/12/2007	TGAA	KMIA	B737-200
56	2601A	R	KSP	P	31/12/2007	TGAA	KMIA	B737-200

6) The table import is now over. Select **Home Page** to return to routine database activities.

D. It is not normally necessary to check this listing for correctness. If there are any data entry errors (even just one), the database will not accept the upload of the Excel file. An example of an error message is provided for user.

Problems with file

Please correct your file and upload it again.
- 'P' is not a valid value for field Planned Event.

E. If the user would like to check the records for correctness, the suggested method is to go to standard reports and select one of the Unfinished MRAI reports for viewing.

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6.8 ENTERING PLANNED CERTIFICATION EVENTS

A. The purpose of this section is to discuss the recommended method for entering PLANNED MINIMUM CERTIFICATION EVENTS that must occur before a certification is complete.

MCE=Minimum Certification Events

B. These MCE events will include evaluations, demonstrations and inspections.

6.8.1 ENTERING PLANNED CERTIFICATION EVENTS

CAA Action records for the MCEs should be pre-planned for the following certifications—

1) Original certification of an AOC, AMO, ATO or Aerial Work operators;
2) Lengthy special certifications such as ETOPS, RVSM, RNP-10;
3) Low visibility operations, such as Category II and III landings or takeoffs;
4) Addition of a new aircraft type to the AOC certificate.

Failure to use the methodology outlined in this section may result in unstandardized entries in the summary reports generated by the database.

6.8.2 WHY PRE-PLAN THE MINIMUM CERTIFICATION EVENTS?

A. Pre-planning the M-records for a given certification is a management function. For the purposes of this section, the acronym “MCE” or “M-records” will denote that program.

MCE=Minimum Certification Events

B. Management determines the minimum types and numbers of evaluations, inspections and demonstrations that will confirm that a successful certification occurred.

C. Management is more aware of international standards of performance and the markers that cause accident inquiry boards and international audit groups to decide that a CAA is accomplishing a coherent and complete certification.

D. Few CAAs take the time to pre-plan certifications. This is very apparent when these CAAs are audited and found to have insufficient records of certification

E. The audit groups also look for “follow-through.” Is there evidence that the CAA accomplished the Minimum Certification Evaluations and Events that were pre-planned?

F. Records of an MCE program showing the certification plan and subsequent completion of that plan are critical to the international credibility of the CAA.

6.8.3 ESTABLISH CERTIFICATION PLANNING GUIDANCE

A. The Inspectorate should establish a requirement that the minimum certification events for a certification should be planned to ensure a standardized approach that is complex enough to be satisfactory in the aviation environment of today. That list should be based on the complexity of the operations proposed, the type of aircraft and possible impact on public safety.

B. The list of minimum certification events required should be published in an official CAA guidance document.

6.8.4 COMPLETE THE MCE PLANNING FORM

A. The Certification Project Coordinator will complete the paper-copy of the Certification Planning Form.

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B. This form is a list of Minimum AOC Certification Events that should be planned, and sorted by the type of aircraft and operations planned.

C. The CPC will check-off the appropriate events, thereby compiling a list of Action numbers.

D. This list will be provided to the DQC for entry into the database.

- Use of a planning document to ensure that the minimum certification events occur on each certification is highly recommended.
- See the example guidance that is included at the end of this document.

6.8.5 ENTERING PLANNED MCE EVENTS IN DATABASE

A. Only Data Quality Coordinators have the default authority to enter planned minimum certification events (make a selection in the PE field on the CAA Action Entry Form) for their assigned inspectors.

MCE=Minimum Certification Events

B. There are three methods Data Quality Coordinators may use to enter Planned Minimum Certification Events —

1) Individually (record-by-record) through the CAA Action Data Entry Forms;

2) By using a table import from an MS Excel planning document developed specifically for this particular certification by the assigned certification team; or

A customized certification plan should only be developed for projects with a small number of MCE events.

3) By using a table import from MS Excel template provided by the CASORT development team for the specific type of certification. The provided templates are —

- Original certification of a passenger-carrying airline of large aircraft
- Original certification of a cargo-only airline of large aircraft
- Adding aircraft to a airline of large aircraft
- Original certification of a commuter airline of 20 passenger aircraft
- Original certification of an air taxi of 9 passengers or less
- Original certification of a helicopter air taxi

- Standardized templates are the best way to upload projects with a large number of MCE events.
- The templates provided by with the database are examples that have been used effectively by CAA.
- CAAs may customize these templates as necessary.

6.8.6 MCE: USING THE RECORD-BY-RECORD METHOD

A. The record-by-record method is the slowest method, but, for a small amount of records may be the choice of the Data Quality Coordinator.

B. The DQC selects the **Home Page> Enter CAA Action Record**.

C. There are seven fields that must be completed for an MCE record—

1) ***Action Number**. The Action number for the MCE must be entered.

2) ***PE (Planned Event)**. Select the "**M=Planned Certification**" to designate this CAA Action record as a Minimum Certification Event record.

This selection is critical to the retrieval of the standard reports for Certification Planning Report and the other Certification Reports.

3) ***INI (Assigned Inspector)**, Select the assigned inspector from the drop-down menu. Usually there is at least a Flight Operations, Maintenance and Avionics inspector assigned to the certification project.

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4) "**Project Number**. The Control Number for the CAA Action record used to record the initiation of the certification should be entered (*See Help Contents 4-2, paragraph 4.2.3*).

5) ***Action (Action Taken)**. Select "**P=Planned**" as a placeholder until the actual certification and/or inspection event has been accomplished SUCCESSFULLY. This selection is critical to the retrieval of the standard Certification Reports.

6) ***Date**. Enter a date at least 12 months in the future. Using this future date, allows the most recently completed events to appear at the top of the certification report.

7) ***ORG (Organization).** Select the identifier for the organization that is being certificated.

8) ***Location**. Initially, select the location where the operator's primary place of business is located.

9) **Aircraft**. The aircraft type that is involved in the certification should be selected.

- The standard certification reports are sorted chronologically by date.
- Selecting a distant future date for the planned MCE Events results in the uncompleted planned events always being at the bottom of the report.
- The completed events will be listed at the top of the reports.

For proper entry in each of these fields, see paragraph D of 5.4.6 which gives a detailed description of each of these fields.

D. After completing each record, select ***GO.***

E. Then select ***Enter A New Record Based On The Previous Record***.

F. A new copy of the previous file is presented. The person making the entries will then overwrite the Action number with the next number on the planning list to create the next MCE record.

G. This process will be repeated until all MCE records have been entered into the database.

The Data Quality Coordinator must be careful to cross off each proposed event from the MCE as they are entered into the database.

6.8.7 VIEWING THE ENTERED RECORDS

Another method of checking that the M-records were actually entered into the database would be to go to the Home Page and select "View CAA Action Records" and sort the PE field.

6.8.8 MCE: USING THE TABLE IMPORT METHOD

- Review Section 6.5 and Paragraph 6.7.6 before entering the MS Excel data for MCE planning events.

6.8.8.1 Use the Planning Forms

A. The assigned certification team have selected a template or completed a MCE Certification Plan in accordance with the technical instructions.

B. The team's decision or plan will be reviewed by their supervisor. If acceptable, the template or plan will be provided to the DQC.

1) If the decision is to use a standard MCE template, the DQC will upload that template.

2) If the decision is to use a customized MCE Certification Plan, the DQC will ensure that the customized Excel plan has no data entries that will cause errors.

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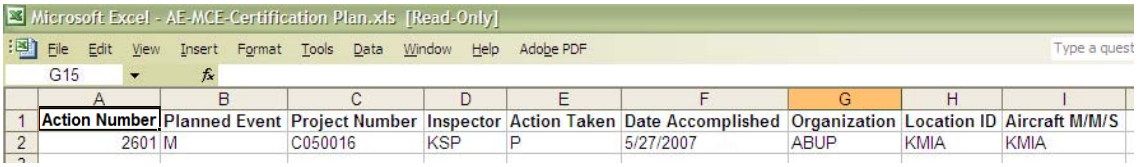
6.8.8.2 Using the Action Upload-MCE (Certification) Plan Template

A. The "Action Upload-MCE Plan" template has all of the necessary column headers for MCE entries provided.

The DQC should not modify the headers of this template.

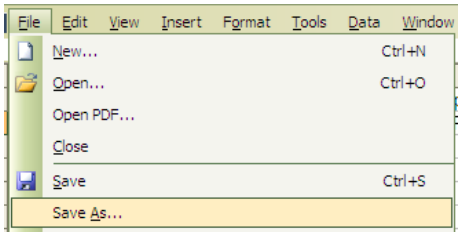
B. An example of the recommended entries is provided with the template.

- Row #2 should be modified to contain the specific information to be uploaded (or deleted prior to the table import into the database).


Microsoft Excel - AE-MCE-Certification Plan.xls [Read-Only]
File Edit View Insert Format Tools Data Window Help Adobe PDF
G15

	A	B	C	D	E	F	G	H	I
1	Action Number	Planned Event	Project Number	Inspector	Action Taken	Date Accomplished	Organization	Location ID	Aircraft M/M/S
2	2601	M	C050016	KSP	P	5/27/2007	ABUP	KMIA	KMIA

6.8.8.3 Save an Action Upload-MCE (Certification) Plan Excel Document



A. The first step in preparing for an Excel upload of the MRAI files will be to use the template to save a new file for the inspectors' data.

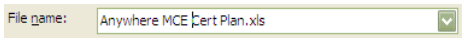
B. Select **File> Save As...** This action will bring up a "Save As" window.

C. Make sure that the appropriate folder for storage of this Excel file is selected in the upper window.

D. This file should be placed in a computer folder with other planning files.

E. This Excel file should be named so that it will be easily recognized later.

- In this example, the file name will be changed to show the calendar year of the file.

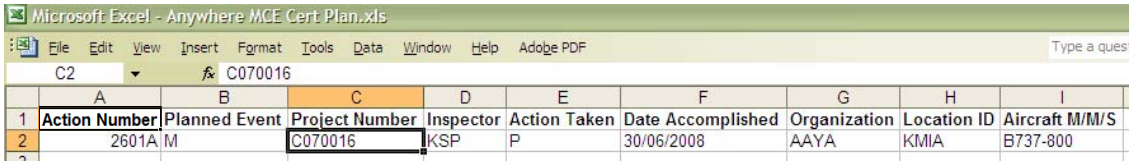


F. Select **OK** and the new file will be created.

Before proceeding to the next step, stop and review Section 6.6. Avoid the common errors that occur during completion of the Excel form.

6.8.8.4 Completing the Customized MCE Certification Plan

A. Modify the row #2 to contain the customized data regarding the certification.



	A	B	C	D	E	F	G	H	I
1	Action Number	Planned Event	Project Number	Inspector	Action Taken	Date Accomplished	Organization	Location ID	Aircraft M/M/S
2	2601A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800

B. Count the number of MCE events contained in the customized certification plan. Copy the original row.

C. Select the total number of rows for which there will be a file entered.

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D. With the cursor inside the selected rows, right click and select **Paste**. This will insert the data from the copied rows.

	A	B	C	D	E	F	G	H	I
1	Action Number	Planned Event	Project Number	Inspector	Action Taken	Date Accomplished	Organization	Location ID	Aircraft M/M/S
2	2311A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
3	2311A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
4	2311A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
5	2311A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
6	2311A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
7	2311A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
8	2311A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
9	2311A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
10	2311A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
11	2311A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800

E. It will now be necessary to modify each row to select a replacement Action number from the customized certification plan.

- This effort is labor-intensive to achieve the correct list of numbers.
- Routine development of a customized plan from zero is discouraged. CAAs should develop and use templates.

The table upload feature has been tested with up to 1000 Excel rows without upload errors.

Microsoft Excel - Anywhere MCE Cert Plan.xls

File Edit View Insert Format Tools Data Window Help Adobe PDF

A11 2311J

	A	B	C	D	E	F	G	H	I
1	Action Number	Planned Event	Project Number	Inspector	Action Taken	Date Accomplished	Organization	Location ID	Aircraft M/M/S
2	2311A	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
3	2311B	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
4	2311C	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
5	2311D	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
6	2311E	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
7	2311F	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
8	2311G	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
9	2311H	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
10	2311I	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800
11	2311J	M	C070016	KSP	P	30/06/2008	AAYA	KMIA	B737-800

F. This methodology should be followed to—

1) Develop the customized EXCEL certification plan, or

2) Customize a standard template.

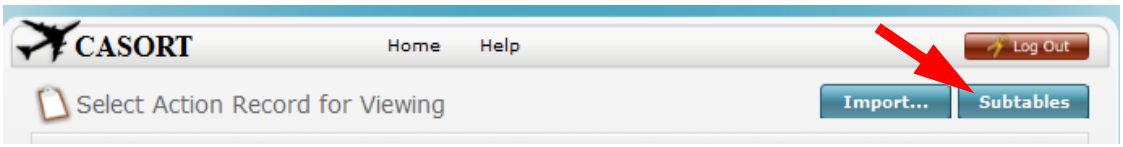
G. Where possible, it is best to have one big Excel file for the certification plan. For historical purposes, locate that file in a folder on the server associated with the organization. Close this file.

6.8.8.5 Uploading the Customized Certification Plan

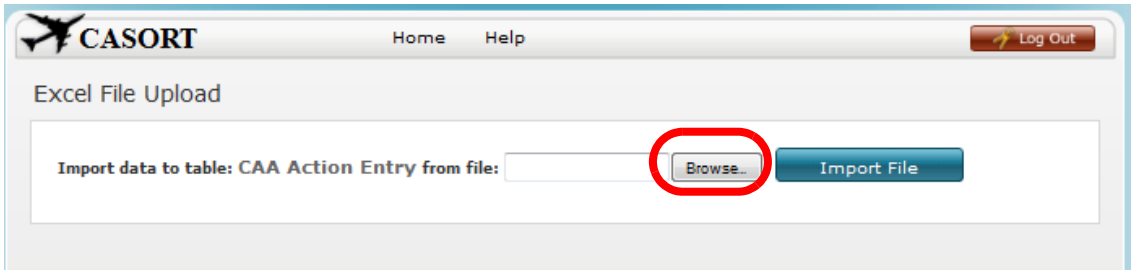
A. From this point, it is easy to upload the data. The DQC will log into the database and go to the Home Page.

B. Select the CAA Actions ***View*** button.

C. On the CAA Action View Page, there is a button labeled ***Import.***



1) Select that button and a menu will appear;
   - ♦ This upload is defaulted to the "CAA Action Entry Form."



2) Select the **Browse** button to find the specific Excel file to upload.
3) Select that file.
4) When that file is shown in the window, click on **Import File**.
5) Assuming that there are no data entry errors in the Excel file the upload should occur and the completed records will appear. But when errors exists, the upload will not occur and an error message will appear.
   - ♦ An example error message is provided here.
   - ♦ In this example, errors were made in 3 fields.
   - ♦ The table upload function caught all 3 errors.
   - ♦ Before the upload could be completed, the user had to go back and correct those errors.

Problems with file

Please correct your file and upload it again.
- 'AAYA' is not a valid value for field Organization.
- 'B737-800' is not a valid value for field Aircraft M/M/S.
- 'C070016' is not a valid value for field Project Number.

6) When the errors were corrected and the MS Excel certification plan was uploaded, the upload was successful as indicated by the displayed records and their newly assigned Record ID Numbers

Data saved

Record ID	Action Number	Planned Event	Project Number	Inspector	Action Taken	Date Accomplished	Organization	Location ID	Aircraft M/M/S
58	2311A	M	C070016	KSP	P	30/06/2008	ANYA	KMIA	B737-700
59	2311B	M	C070016	KSP	P	30/06/2008	ANYA	KMIA	B737-700
60	2311C	M	C070016	KSP	P	30/06/2008	ANYA	KMIA	B737-700
61	2311D	M	C070016	KSP	P	30/06/2008	ANYA	KMIA	B737-700
62	2311E	M	C070016	KSP	P	30/06/2008	ANYA	KMIA	B737-700
63	2311F	M	C070016	KSP	P	30/06/2008	ANYA	KMIA	B737-700
64	2311G	M	C070016	KSP	P	30/06/2008	ANYA	KMIA	B737-700
65	2311H	M	C070016	KSP	P	30/06/2008	ANYA	KMIA	B737-700
66	2311I	M	C070016	KSP	P	30/06/2008	ANYA	KMIA	B737-700
67	2311J	M	C070016	KSP	P	30/06/2008	ANYA	KMIA	B737-700

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7) The table import is now over. Select **Home Page** to return to routine database activities.

D. It is not normally necessary to check this listing for correctness. If there are any data entry errors (even just one), the database will not accept the upload of the Excel file.

E. If the user would like to check the records for correctness, the suggested method is to go to standard reports and select one of the Unfinished MRAI reports for viewing.

6.9 ENTERING ASSIGNMENTS FOR EMPLOYEES

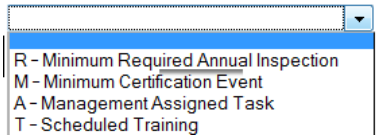
6.9.1 GENERAL INSTRUCTIONS

A. Assignment of planned work for employee is normally entered on a record-by-record basis.

B. The manager will complete a CAA Action record making the assignment by —

1) Selecting the applicable Action Number;

2) Selecting the correct Planned Event as ***A = Management Assignment Task***;



3) Selecting the correct ***Inspector*** initials;

4) If applicable, select a ***Project Number***;

5) Selecting the Action Taken as ***P=Planned***;

6) Entering the target date (in the ***Date Accomplished***) for completion of the assignment;

- The selection of the target date is important for the internal CASORT processing of the subsequent notification.
- If the target date is more than 5 days in the future, the manager should also send an email reminder of the new assignment which includes the Record ID number.

7) If appropriate, selecting the ***Org Identifier*** for a specific organization.

8) If necessary, changing the default ***Location*** if the location is other than the inspector's normal location;

9) Providing additional instructions in the ***Memo*** field.

6.10 ENTERING EMPLOYEE TRAINING PLAN

6.10.1 TRAINING PLAN DEVELOPMENT

An Employee Training Plan is normally developed to cover a 24-month period.

1) Training Plans are best initially completed by starting with the template for Action Upload-Training Plan;

2) Using the template, save a blank MS Excel training plan for the employee;

3) Complete the Excel training plan and discuss with employee;

4) Ensure that the training is scheduled and the budget supports the training; then

5) Upload the plan to the Action database.;

6.10.2 INDIVIDUAL TRAINING

The fields that should be completed for the training plan include —

1) The applicable Action Number;

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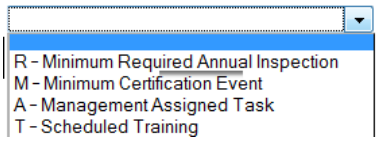
2) Selecting the correct Planned Event as ***T = Scheduled Training***;



3) Selecting the correct ***Inspector*** initials;

4) For formal training, select a ***Tracking Number*** that includes the training course and ins it uti on;

5) Selecting the Action Taken as ***P=Planned***;

6) Entering the target date (in the ***Date Accomplished***) for the start date of the training;

7) If training is to be at a organization under the CAA's supervision, selecting the ***Org Identifier*** for a specific organization. and

8) If other than the inspector's normal location, changing the default ***Location*** to the training location.

6.10.3 PRINT OUT HARD COPY OF TRAINING PLAN

A. There are 2 standard reports for the Training Plan —

1) **Employee Training Plan**. This report allows the CAA to make both a digital and hard-copy paper record of the training plan right after it is uploaded.

2) **Status of Employee Training Plan**. This report allows the CAA to print out the status of the training plan for an individual employee or the entire organization covering a selected range of dates.

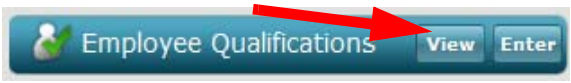
6.11 ENTERING TRAINING COURSE & TRAINING INSTITUTION

These tables must contain the training course and training ins it uti on information before a formal course entry may be made in a CAA Employee Formal Training sub-table.

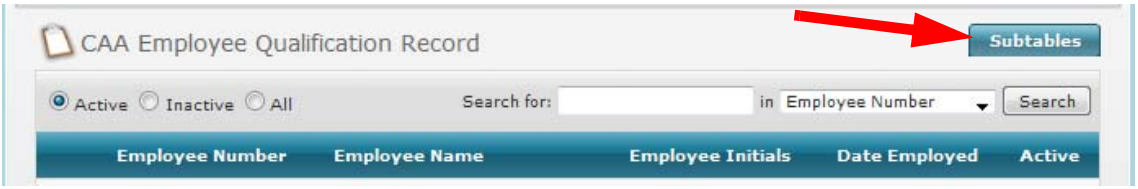
6.11.1 INSERTING NEW TRAINING COURSES

To enter a new training course for subsequent entry in the Completed Training Records —

1) From the Home Page, select the Employee Qualifications **View** button;



2) From the Employee Qualification listing; select the Sub-tables button in the top right corner;



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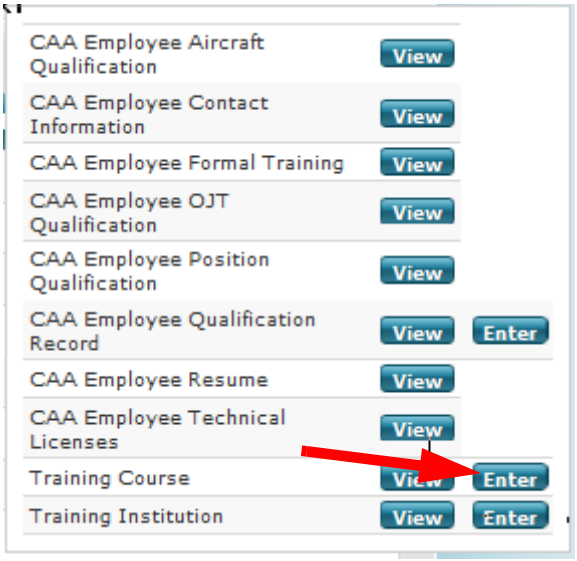
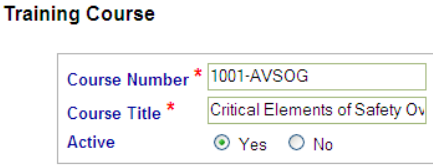
3) A drop-down menu containing access to the training course and institution sub-tables will appear as the last choices;

4) Select the Training Course ***Enter*** button;



5) On the Training Course entry page, enter the **Course Number**.



- Since different training institutions may have the same course number, we recommend that the course number be followed by an acronym for the training institution.

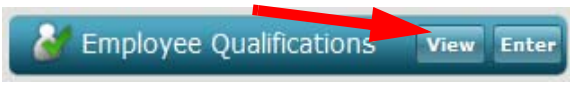
6) Tab down and enter the **Course Title**.

- Do not exceed 35 characters. It may be necessary to do some abbreviation.

6.11.2 VIEW TRAINING COURSE TABLES

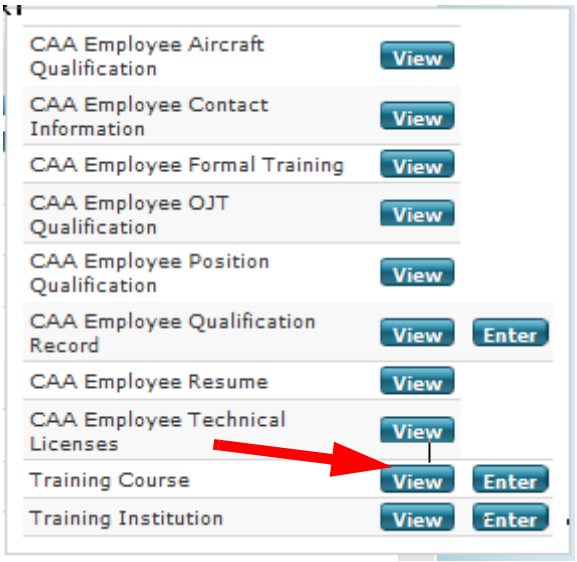
To view the listing of possible training course selections currently in the database —

1) From the Home Page, select Employee Qualifications **View** button;

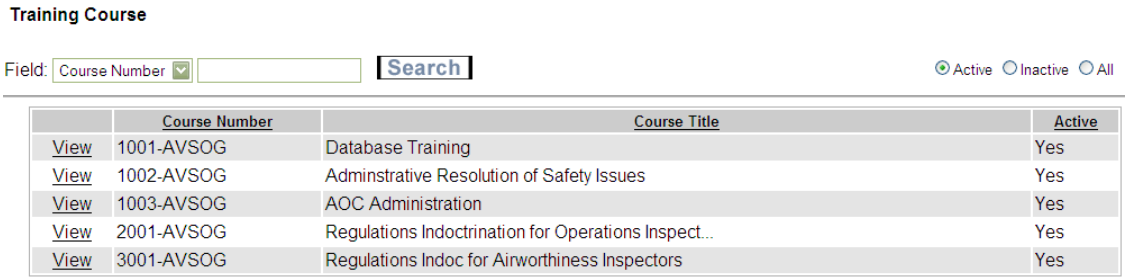


2) A drop-down menu containing access to the training course and institution sub-tables will appear as the last choices;

3) Select the Training Course ***View*** button;



4) That action will bring up the listing of the training course selections

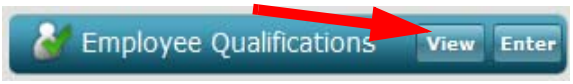


	Course Number	Course Title	Active
View	1001-AVSOG	Database Training	Yes
View	1002-AVSOG	Adminstrative Resolution of Safety Issues	Yes
View	1003-AVSOG	AOC Administration	Yes
View	2001-AVSOG	Regulations Indoctrination for Operations Inspect...	Yes
View	3001-AVSOG	Regulations Indoc for Airworthiness Inspectors	Yes

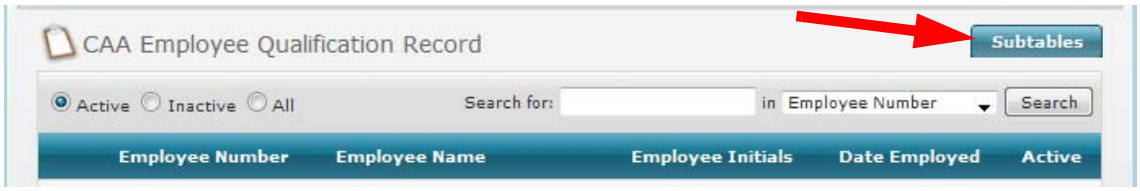
6.11.3 INSERTING NEW TRAINING INSTITUTIONS

To enter a new training institution for subsequent entry in the Completed Training Records —

1) From the Home Page, select the Employee Qualifications **View** button;

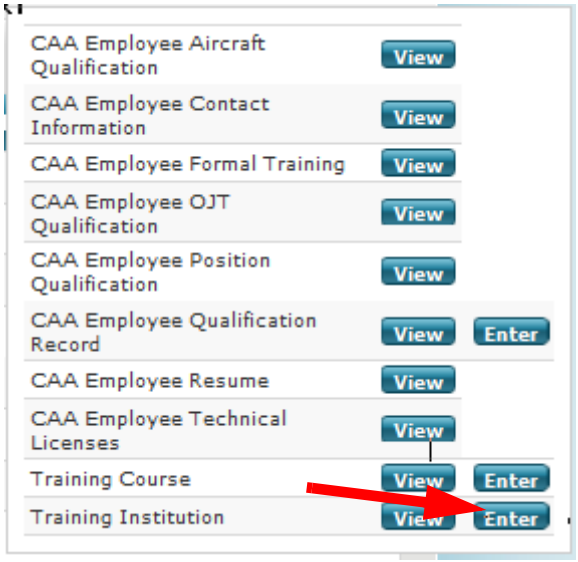


2) From the Employee Qualification listing; select the Sub-tables button in the top right corner;



3) A drop-down menu containing access to the training course and institution sub-tables will appear as the last choices;

4) Select the Training Institution ***Enter*** button;



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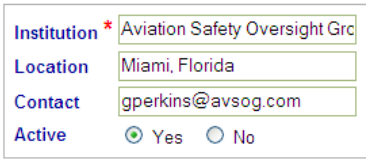
5) On the Training Institution entry page, enter the **Institution**.

   ♦ Do not exceed 35 characters.

6) Tab down and enter the **Location**. This information is to assist in locating the institution on the view page for training institution.

   ♦ Do not exceed 35 characters. It may be necessary to do some abbreviation.

Training Institution



7) Tab down and enter the **Contact** information. The authors suggest that this should be an e-mail address because of the worldwide nature of aviation training.

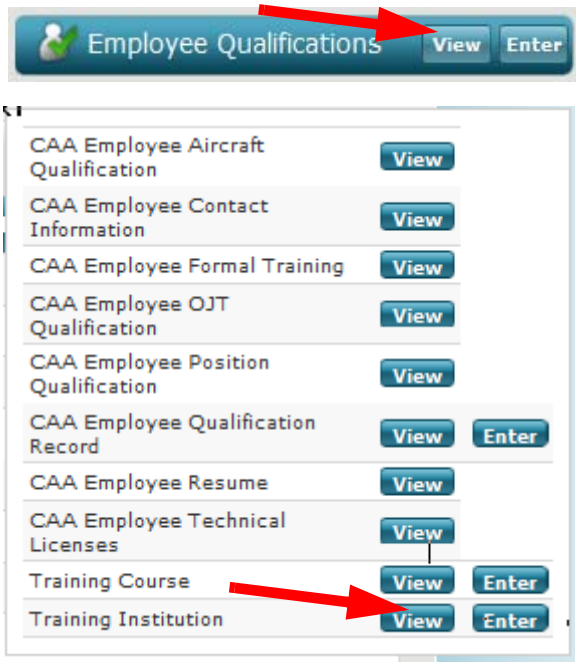
6.11.4 VIEW TRAINING INSTITUTION TABLES

To view the listing of possible training institutions selections currently in the database —

1) From the Home Page, select Employee Qualifications **View** button;

2) A drop-down menu containing access to the training course and institution sub-tables will appear as the last choices;

3) Select the Training Institution ***View*** button;



4) That action will bring up the listing of the training institution selections.

Training Institution

Field: Institution Search Active Inactive All

	Institution	Location	Contact	Active
View	Aviation Safety Oversight Group, Inc	Miami, Florida USA	gperkins@avsog.com	Yes
View	Boeing Aircraft	Seatle, Washington USA		Yes
View	FAA Academy	Oklahoma City, Oklahoma USA		Yes
View	IATA [International Air Transport Association	Montreal, Canada		Yes
View	ICAO [International Civil Aviation Organization	Montreal, Canada		Yes
View	USC [Univeristy of Southern California	Los Angles, California USA		Yes

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APPENDIX 6-A
Establishing Formal Training Course Numbers

1. General

A. Course numbers are identified by a nine or ten digit alpha-numeric identifier.

Example: 20091-CAA

B. They are comprised of the combination of the appropriate number identifying the technical specialties (e.g. 20091 = this is an operations-specific training course).

C. Combined with an acronym intended to identify the source of the training (e.g. CAA = conducted by instructors from the CAA).

2. To create a new Formal Training Course Number

A. Ensure that the course in question is not already contained in the CASORT Database by examining the Formal Training Course sub-table (drop-down menu).

Data Quality Coordinators should have a printed list of the current course numbers in the CASORT Training Course sub-table.

- If the course already exists, use the existing course number.
- Do not create a second number for the same training course.

B. If the course does not already exist in the database, create a new course number for the course in question.

C. Course Numbers are constructed by first identifying and selecting the appropriate category and sub-category of the subject training

1) **Generic** (training that is suggested for groupings of technical and support personnel):

AVSOG highly recommend that database administrators coordinate certain bodies of numbers for CASORT standardization.

- ♦ 1000-1030 (Coordinate with AVSOG)

2) **Operations (**includes Flight Operations, Dispatch & Cabin Safety specialties)

- ♦ 2008-2030 (Coordinate with AVSOG)
- ♦ 2300-2350 (Flight Operations Inspectors Only)
- ♦ 2400-2450 (Dispatch Inspectors/Specialization Only)
- ♦ 2500-2550 (Cabin Safety Inspectors/Specialization Only)
- ♦ 2600-2650 (Dangerous Goods Inspectors/Specialization Only)
- ♦ 2900-2999 (Aircraft-Specific Flight Training)

3) **Airworthiness** (includes Maintenance, Avionics and Engineer specialties)

- ♦ 3000-3030 (Coordinate with AVSOG)
- ♦ 3300-3350 - Maintenance Inspectors Only
- ♦ 3400-3450 - Avionics Inspectors Only
- ♦ 3500-3550 - Engineer Inspectors Only

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4) **Administrative & Management** Support Personnel

- 4000-4030 (Coordinate with AVSOG)
- 4040-4070 (Management Related Courses

5) **IT and Quality Personnel**

- 5000-5030 (Coordinate with AVSOG)
- Management Training (specifically for management personnel)

6) **Educational Background**

- 9000-9020 (Coordinate with AVSOG)
- 9100-9299 (Use for training that supports background and experience)
- 9700-9999 (Use for training that is higher education.

3. To create a new Source Tag for Course Number

A. The assigned course number, separated by as hyphen, is then combined with the acronym for the training source.

Example: 1003-CAA
Course Number 1003 conducted by CAA instructors,

B. Use of the source tag -CAA could identify courses taught by the CAA that is using the database for employee qualification training.

C. If the intent is to be more specific where the course is taught by another CAA, some very apparent source tags of civil aviation organization would include—

- FAA
- EASA
- UKCAA
- CMOT
- SENSA

D. If the intent is to show that course is taught by a well-known government organization, the tag should be the initials of the organization—

- NTSB

E. To show that the course is taught by ICAO or an organization related to ICAO the tag should be the recognized initials of the organization—

- ICAO – used for all ICAO-administered training organizations such as Trainair, not including COSCAP.
- COSCAP – Cooperative Development of Operational Safety and Continuing Airworthiness.
- IATA – International Air Transport Association.

F. To show that the course is taught by an aviation industry organization, the tag should be associated with the type of organization—

- AOC – Air Operator Certificate holder
- AMO – Authorized Maintenance Organization
- ATO – Approved Training Organization.
- GOV (Used for all government agencies other than Civil Aviation Authorities.
- MFG – Manufacturer (All major manufacturing companies of aircraft and major subsystems.)
- OEM – Original Equipment Manufacturer.
- MIL – Used for all Military Armed Services Branches

End of Chapter

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Chapter 7
Safety Concerns: Entering, Editing & Printing

The purpose of this chapter is to provide specific guidance for—

1) Proper entering, editing, reporting and printing of safety concerns;
2) Tracking and resolving of identified safety concerns; and
3) Application of risk analysis for the prioritization of resolution.

Failure to follow the guidance included in this chapter will compromise the consistency of the the safety concern resolution database.

7.1 SAFETY CONCERN ENTRY FORM ORIENTATION

The purpose of this section is to orient the user with the fields on the Safety Concern Entry Form.

7.1.1 OPENING THE SAFETY CONCERN ENTRY FORM

A. Safety concerns must be directly attached to the CAA Action record that generated the actual finding.

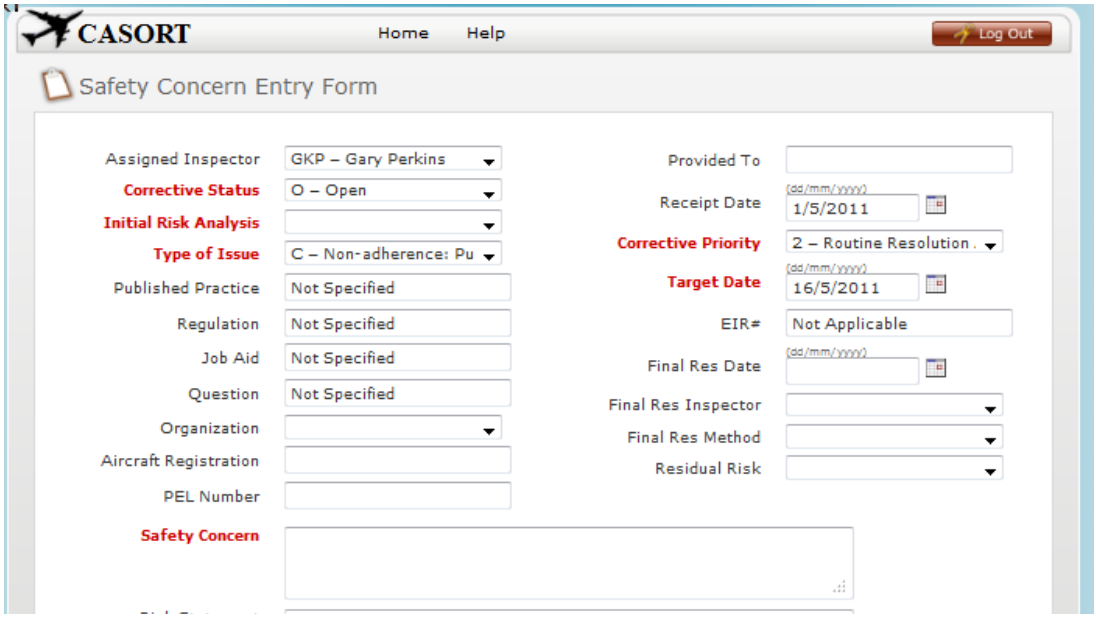
The database will not allow the user to add a safety concern separately from a CAA Action record.

B. The normal method of entering a safety concern will be at the same time the user is completing the CAA Action record.

C. The SAFETY CONCERN link is located at the bottom of the right column of the CAA Action Entry Form.

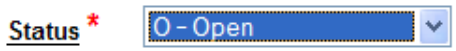
D. To enter a safety concern, it is necessary to select, by the field name SAFETY concern, the “Add” link.

E. Clicking on that button will open a new SAFETY concern Entry Form.



7.1.2 CORRECTIVE STATUS FIELD

A. The CORRECTIVE STATUS field is a required entry field.



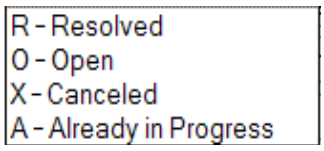
B. This field defaults to "OPEN." This selection may be overwritten with a different selection at the time of entry.

> If the identified concern is resolved by the time the entry is made, the user should follow the procedures specified at the end of the chapter to resolve the concern.

C. The STATUS field selections are contained in a drop-down menu.

> The possible selections were fixed by the creators of the database to ensure that standardized reports could be generated.

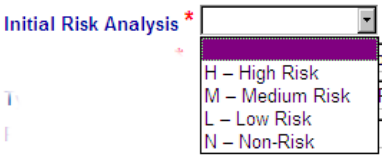
D. The four possible selections in that drop-down menu are—



- **R=Resolved**. This selection indicates that the SAFETY concern has been resolved.
- **O=Open**. This selection indicates that the Inspectorate is actively pursuing a satisfactory resolution to the concern.
- **X=Cancelled**. This selection indicates that, on further review, the Inspectorate determined that the concern was not valid.
- **A=Moved to Admin Tracking.** This selection indicates that the safety concern was canceled, but the underlying issue was moved to the Administrative Tracking database for tracking and correction.
- **C=Consolidated for Resolution**. This selection indicates that the safety concern was closed because the finding was consolidated with other related findings into one safety concern record for tracking of the subsequent resolution of the total package.

7.1.3 INITIAL RISK ANALYSIS FIELD

A. The INITIAL RISK ANALYSIS field is a required entry field in order to save the record.



B. This field defaults to "Medium-Risk." This selection may be changed to a different selection at the time of completion.

C. This field requires the initiating inspector to assess the severity and likelihood of not correcting this concern and the hazard that it represents.

D. This initial analysis will be used to prioritize the—

1) Resolution of the identified concern, and

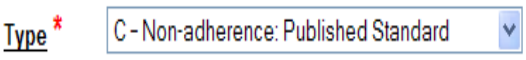
2) Mitigate any identified hazards and risk.

E. The initiating inspector must also develop risk statement for a selected level of High or Medium risk.

- The recommendations for making a risk decision and writing the content of the risk statement are contained later in this chapter.

7.1.4 TYPE OF ISSUE FIELD

A. The TYPE OF ISSUE field is a required entry field. It is used for trend analysis.



B. This field is an indicator of the source of the applicable standard that caused the auditing inspector to identify the concern.

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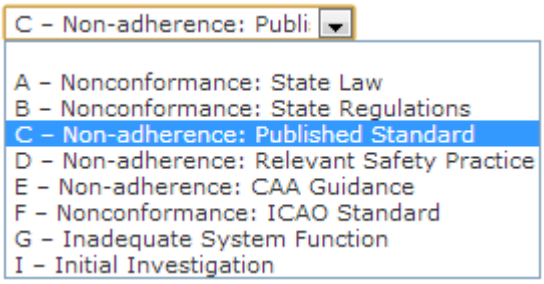
C. This field defaults to "C=Non-adherence: Published Standard." This selection may be overwritten with a different selection at the time of entry.

> The possible selections were fixed by the creators of the database to ensure that standardized reports could be generated.

D. The TYPE field selections are contained in a drop-down menu.

E. The seven possible selections in that drop-down menu are—


C – Non-adherence: Publi
A – Nonconformance: State Law
B – Nonconformance: State Regulations
C – Non-adherence: Published Standard
D – Non-adherence: Relevant Safety Practice
E – Non-adherence: CAA Guidance
F – Nonconformance: ICAO Standard
G – Inadequate System Function
I – Initial Investigation

1) **A=Non-Conformance: State Law**. This selection indicates that the basis for identifying the concern is found in the civil aviation law of the State.

2) **B=Non-Conformance: State Regulations**. This selection indicates that the basis for identifying the concern is found in the civil aviation regulations.

3) **C=Non-Adherence: Published Standard.** This selection indicates that the basis for identifying the concern is found in published aviation safety operating standards.

4) **D=Non-Adherence: Relevant Safety Practice**. This selection indicates that the basis for identifying the concern is a relevant safety practice that is commonly known in the aviation industry.

5) **E=Non-Adherence: CAA Guidance.** This selection indicates that the basis for identifying the concern is found in CAA Guidance materials.

6) **F=Non-Conformance: ICAO Standard**. This selection indicates that the basis for identifying the concern is found in the ICAO Standards. This is intended primarily for concerns arising with foreign operators conducting operations into the State.

7) **G=Inadequate System Function**. This selection indicates that the basis for identifying the concern was the failure of a safety procedure or system to provide the desired results. This provides the ability to make a safety assessment regarding a procedure or system.

8) **I=Initial Investigation.** This selection is provided to be used when an investigation is begun without a clear identification of the type of safety concern.

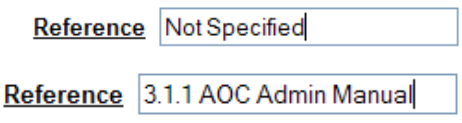
> Normally, this entry will be changed as the investigation is conducted.

7.1.5 PUBLISHED GUIDANCE FIELD

> The ability of an inspector to identify the specific reference for identifying the concern provides credibility to the finding.

A. The PUBLISHED GUIDANCE field is provided to cite the specific source of a requirement (other than a regulation). It is primarily used to support concerns identified in the TYPE field as C, D, E, or F.

B. Depending on the version of the database, this field is blank or defaults to "Not Specified" at origination of the record. This default entry selection may be overwritten at the time of entry with the specific source reference.

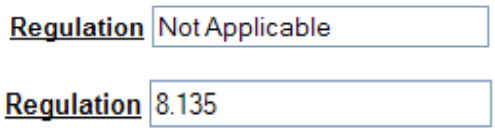


C. The failure to identify the specific reference to published guidance when originating the concern is acceptable provided that the inspector will do the necessary research if the concern is questioned by the operator.

7.1.6 REGULATION FIELD

A. The REGULATION field is provided to cite the specific source of a requirement (other than a relevant safety practice. It is primarily used to support concerns identified in the TYPE field as A or B.

B. Depending on the version of the database, this field is blank or defaults to "Not Applicable" at origination of the record. This default entry selection may be overwritten at the time of entry with the specific source regulation.



C. The failure to identify the specific regulation when originating the concern is acceptable provided that the inspector will do the necessary research if the concern is questioned by the operator.

> The ability of an inspector to identify the specific reference for identifying the concern provides credibility to the finding.

7.1.7 JOB AID FIELD

A. The JOB AID field is provided for those States that use job aid checklists as their primary source for identifying safety concerns. The use of job aids as source references does provide the ability to implement a more specific trend analysis.

B. Because most States do not use this methodology, this field defaults to "None" at origination of the record.

C. Those States using the job aids may overwrite the default entry with a specific JOB AID NUMBER.

7.1.8 QUESTION NUMBER FIELD

A. The QUESTION field is provided for those States that use job aid checklists as their primary source for identifying safety concerns.

B. The inspector then has the capability to select a *specific question number* from the job aid to identify the concern. This "drill-down" approach provides a basis for detailed trend analysis.

C. Because most States do not use this methodology, this field defaults to "None" at origination of the record.

D. Those States using the job aids may overwrite the default entry with a specific QUESTION NUMBER.

7.1.9 ORGANIZATION FIELD

A. The ORGANIZATION field provides the same drop-down menu that is located on the CAA Action Entry form.

B. This field provides the capability for searching the safety concerns specific to an organization.

7.1.10 AIRCRAFT REGISTRATION FIELD

The Aircraft Registration field provides the capability for the CAA to search the safety concerns relating to a specific aircraft.

7.1.11 PEL LICENSE FIELD

The PEL license field provides the capability for the CAA to search the safety concerns related to a specific license.

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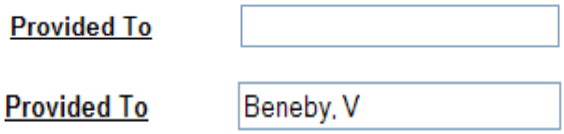
7.1.12 ASSIGNED INSPECTOR FIELD

A. The ASSIGNED INSPECTOR field was added to the Safety Concern Entry form because the inspector assigned to resolve an concern is not always the one who found it.

B. This field works the same as the drop-down menu on the CAA Action Entry form. It also allows the supervisor to sort the VIEW SAFETY concern screen to group those assigned to a specific inspector.

7.1.13 PROVIDED TO FIELD

A. The PROVIDED TO field allows the Inspectorate to document the name of the company manager or individual that was given official written notification of the safety concern and target date for correction. This field is blank when the new Safety Concern Entry form is initiated.



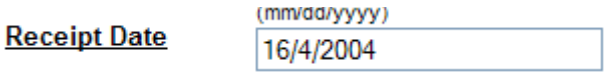
B. The last name, and at least the first initial, of the person the official notification was provided to will be entered in this field.

> It is important to later queries that this field be consistently last name, followed by the first initial or name.

7.1.14 RECEIPT DATE FIELD

A. The RECEIPT DATE field documents the date that the official written notification of the safety concern is provided to company management or an individual.

B. This field is auto-filled with the date the Safety Concern Entry Form is originated. If the written notification will not be transmitted on that date – overwrite the default date with the actual date of notification.



- included later in this chapter.

7.1.15 CORRECTIVE PRIORITY LEVEL FIELD

A. The LEVEL field is a required entry field. It is used for trend analysis.

B. This field is an indicator of the priority for correction that the Inspectorate is applying to the concern based on the Initial Risk determination.

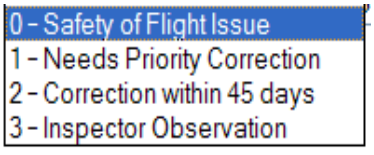
C. This field defaults to "2=Correction with 45 days" which is used by many CAAs for routine correction of safety concerns. This selection may be overwritten with a different selection at the time of entry.

> Note that assigning 45 days to correct a safety concern that is given an Initial Risk = High or Medium Risk is very questionable.

D. The LEVEL field selections are contained in a non-editable, drop-down menu.

E. The four possible selections in that drop-down menu are—

- **0=Safety of Flight Concern**. This selection indicates that the issue required correction or mitigation before further flight.
- **1=Needs Priority Correction**. This selection indicates that the correction should be accomplished within 3-5 days, but restricted flight operations may continue assuming the application of measures to mitigate the safety concern.



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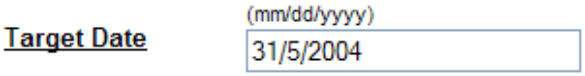
- **2=Needs Corrective Action**. This selection indicates that continued operations while the safety concern correction is being tracked was either mitigated by application of interim measures or the concern has been assessed Low Risk.

> Consideration should be given that the identified concern may not be a safety concern and should entered and tracked to completion in the Administrative Tracking database.

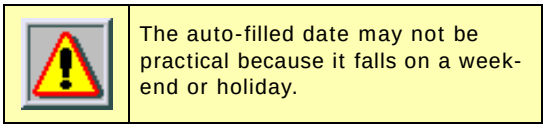
- **3=Inspector Observation**. This selection indicates that the inspector has identified an concern that is not based on a law, regulation or a published standard or relevant safety practice, but his evaluation is based on his on experience and training relating to that subject and similar situations in aviation.

7.1.16 TARGET DATE FIELD

A. The TARGET DATE field is vital to the standard management reports for tracking and retiring Open safety concerns.



B. The TARGET DATE field is auto-filled with a default date 45 days after origination of the safety concern.



The auto-filled date may not be practical because it falls on a weekend or holiday.

C. This date should be overwritten with a more appropriate target date depending on whether—

1) The Safety Concern must be mitigated or resolved earlier because of it is determined to be High or Medium Risk; or

2) The Safety Concerns can be resolved later because it is considered a Low Risk.

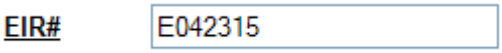
- Inspector findings that are determined to be No- or acceptable Low-Risk should not be entered as safety concerns.
- Use the Administrative database for this purpose.

7.1.17 ENFORCEMENT INVESTIGATION REPORT NUMBER FIELD

A. The EIR# field is provided as a basis for tracking the concerns that resulted in the initiation of an enforcement investigation.

B. Because the resolution of most identified safety concerns does not result in enforcement investigations, this field defaults to “N/A” (not applicable).

C. If an enforcement investigation is initiated as a project, the control number will be inserted in this field.

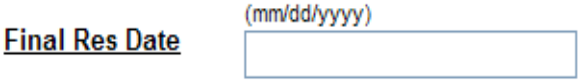


D. The use of this field allows the CAA to track the number of safety concern resolutions that required enforcement investigations.

7.1.18 FINAL RESOLUTION DATE FIELD

A. The FINAL RESOLUTION DATE field provides a closeout date field for later sorting of actual resolution times.

B. This field is blank when the Safety Concern Form is originated. It remains blank until the concern is resolved.



7.1.19 FINAL RESOLUTION INSPECTOR FIELD

A. The FINAL RESOLUTION INSPECTOR field provides a drop-down menu of users to select the inspector who made the decision that the concern was resolved.

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B. This field is blank when the Safety Concern Form is originated. It remains blank until the concern is resolved.

7.1.20 FINAL RESOLUTION METHOD FIELD

A. The FINAL RESOLUTION METHOD field provides the Inspectorate with a final chance to review the resolution method.

B. This field is blank when the Safety Concern form is originated. It remains blank until the concern is resolved.

C. When the concern is resolved, the inspector selects the method that was used to resolve it from a drop-down menu.

D. The eight possible resolution selections are—

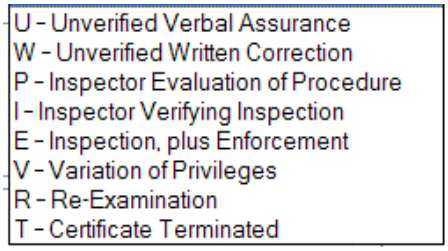
1) **Unverified verbal assurance**. This is sometimes the answer, but it is not an answer that management would like to defend at a later inquiry board.

2) **Unverified written assurance**. Again, sometimes this is the answer, but this should not be a corrective method on critical safety concerns.

3) **Inspector Evaluation of Procedure**. This is a reasonable answer when the concern concerns the written procedure or lack of a procedure.

4) **Inspector Verifying Inspection**. This is a good answer for most concerns.

5) **Inspection, plus Enforcement**. This answer should be used when the situation that created the safety concern involved continued non-conformance with regulations.


U - Unverified Verbal Assurance
W - Unverified Written Correction
P - Inspector Evaluation of Procedure
I - Inspector Verifying Inspection
E - Inspection, plus Enforcement
V - Variation of Privileges
R - Re-Examination
T - Certificate Terminated

6) **Variation of Privileges**. This is the answer when the CAA determines that the certificate holder no longer is in conformance with the standards for certain privileges that were authorized.

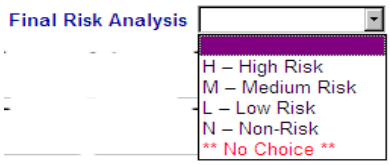
7) **Re-Examination**. Where the concern relates to fitness to continue to hold a certificate, license or rating, successful re-examination will resolve the concern.

8) **Certificate (or License) Terminated**. Where the concern relates to fitness and the holder was unable to meet minimum standards, the best resolution is an action that suspends or revokes the authority to operate or conduct maintenance.

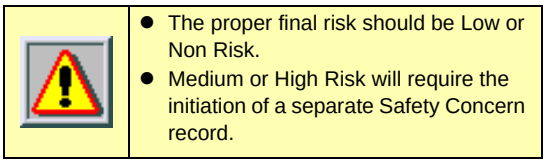
7.1.21 RESIDUAL RISK ANALYSIS FIELD

A. The RESIDAL RISK ANALYSIS field provides the user a drop-down menu of risk level choices.

B. This field will be blank when originating a new Safety Concern Entry form.



C. The RESIDUAL RISK ANALYSIS field requires the closing inspector to assess the residual risk associated with the identified safety concern before the record is "resolved."


The proper final risk should be Low or Non Risk.
Medium or High Risk will require the initiation of a separate Safety Concern record.

7.1.22 ACTUAL FINDING FIELD

A. The ACTUAL FINDING field provides the space for the user to elaborate as necessary to describe the identified safety concern.

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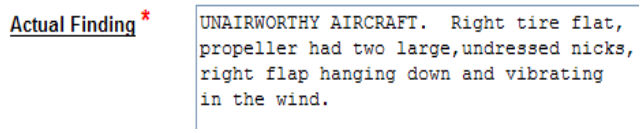
B. This field will be blank when originating a new Safety Concern Entry form.

C. This field is a required field. The database will not save a safety concern that does not have some characters in this field.


Actual Finding *
UNAIRWORTHY AIRCRAFT. Right tire flat, propeller had two large,undressed nicks, right flap hanging down and vibrating in the wind.

D. The recommended completion method for this field is outlined in Section.7.4 of this chapter.

7.1.23 RISK STATEMENT FIELD

A. The RISK STATEMENT field provides the space for the user to author a statement of the hazard and risk associated with the safety finding.

B. This field will be blank when originating a new Safety Concern entry form.

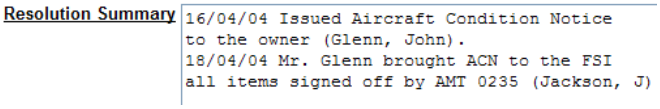
> Completion of this field is not necessary for concerns where the initial risk analysis determination is L=Low Risk or N=Non-Risk.

C. Completion of this field is not required in order to save the Safety Concern form.

> Guidance for completion of this field is outline in Section 7.6 of this chapter.

7.1.24 RESOLUTION & MITIGATION SUMMARY FIELD

A. The RESOLUTION & MITIGATION SUMMARY field provides the space for the user to make a running series of updates that show the sequence of events leading up to mitigation and resolution of the safety concern.


Resolution Summary
16/04/04 Issued Aircraft Condition Notice to the owner (Glenn, John).
18/04/04 Mr. Glenn brought ACN to the FSI all items signed off by AMT 0235 (Jackson, J)

- This field is intended to be a concise summary, preceded by the date.

B. This field will be blank when originating a new Safety Concern Entry form.

> The recommended completion method for this field is outlined in Section 7.7 of this chapter.

7.1.25 SAVE & ATTACH

The buttons at the bottom of the Safety Concern Entry form provide for navigation back to the associated CAA Action record;

1) CANCEL takes the user back to the CAA Action record without saving;

2) SAVE & RETURN saves the safety concern, completes the attachment of the two records, then returns to the associated CAA Action record.

7.1.26 ENTERING MORE THAN ONE SAFETY CONCERN

A. After the software returns the user to the CAA Action record, note that there is a box that indicates how many safety concerns are attached to this record, in this case there is “1” attached safety concern.

B. The are three choices of action that the user may want to do at this point—

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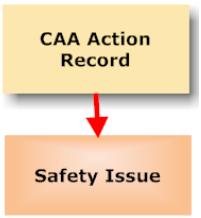
1) Click on the VIEW button to view the contents of the safety concern just entered;

2) Click on the ADD button to add another safety concern; or

3) Finish this CAA Action record and select GO.

7.2 ENTERING NEW OR EDITING EXISTING SAFETY CONCERN

7.2.1 UNDERSTANDING CASORT DATABASE RELATIONSHIPS



A. The CAA Action Record is a primary table within the database.

B. The Safety Concern Record is a sub-table to the CAA Action Record.

C. To enter a new Safety Concern into the database the user must–

1) First ***Enter*** the Action Record;

2) Then from that screen, select to ***Add*** a safety concern; and

3) When the initial entries (at least the fields required for save) have been entered, select ***Save & Attach*** to connect and return to the Action Record;

These steps ensure that the Safety Concern is "connected" to the event that caused it to be identified.

7.2.2 EDITING AN EXISTING SAFETY CONCERN

7.2.2.1 Editing an Open Concern

After the Safety Concern (a sub-table) has been entered, it is now important that all editing of that Safety Concern by accomplished by—

1) Entering the record by selecting the Home Page link ***View SI Records;***

2) This action will allow the user to view (by default) the list of open safety concerns;

   ♦ An "Open" safety concern is one that has not been marked "Resolved."

3) The user will then select the specific safety concern to Edit.

7.2.2.2 Finding & Editing a Resolved Concern

A. Occasionally additional resolution occurs on a Safety Concern that has been marked as "Resolved." (such as the Attorney General calling to advise that an enforcement case has been settled.)

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B. In those situations it will be necessary to—

1) Select the Home Page link ***View SI Records;***

2) Search the Safety Concern database by changing the search field name to either ***Safety Concern Numbe***r or ***EIR #***, and searching for the specific file

7.3 DECIDING HOW TO HANDLE SAFETY CONCERNS

The purpose of this section is to recommend the methodology for identifying and grouping safety findings.

7.3.1 OPPORTUNITY

A. Safety inspectors, like all auditors, are knowledgeable in the interpretation and application of the aviation safety regulations. They are also, in varying degrees according to their technical specialty, knowledgeable in the application of relevant safety practices.

B. Safety inspectors are both consciously and subconsciously in the audit mode when dealing with individuals, aircraft and organization in the aviation environment. This results in the continuous identification of concerns that may not conform to the regulations and/or safety practices. How these inspectors identify and group these concerns effects their personal credibility and the credibility of the CAA.

7.3.2 WHEN TO IDENTIFY AN CONCERN

A. Probably the most important advice that can be given to a new inspector is that the act of identification of an concern brings the responsibility to ensure the resolution of that concern.

- It is better that the industry assume that the inspector did not “see” an concern.
- Do not confirm knowledge of an concern and then deliberately fail to identify and address the concern.

B. The inspector routinely confronts situations where the concerns and numbers of concerns are daunting. The inspector must act carefully in the selection of the concerns to resolve. It can be counter-productive when working with the industry to confirm identification of every possible concern that the inspector “sees.”

C. Inspectors should take care not to identify--

- Concerns when they are not certain of their validity,
- So many concerns that neither they nor the subject can resolve them in a timely manner,
- Critical concerns in the same transmittal with concerns of lesser importance,
- Parallel concerns with so many different subjects that the resolution will be compromised by the political relationships.

- Concerns of questionable validity erode the credibility of the inspector,
- Overwhelming the subject with concerns will likely result in the failure to complete resolution, thus leaving “time bombs” in the CAA records.
- Embedding critical concerns and small concerns in the same resolution process will compromise the completion of the critical concerns.
- A danger that could arise when the inspector has similar or parallel concerns going with groups of operators is that the operators have more influence with the politicians as a group.

D. It is necessary, then, for the inspector to identify concerns on a priority basis, beginning with--

1) **Imminent safety of flight operation.** When an aircraft or individual is about to be used for a flight operation and there is a question of airworthiness or fitness, this constitutes an imminent safety of flight operation that should receive the inspector’s immediate and concentrated attention before the initiation of that flight.

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- The inspector has no option but to identify the concern to all individuals associated with the operation and the local authorities, such as air traffic control and the Director-General, and
- Issue a Prevent Flying Order. This should be given to the persons that are directly associated with the particular operation or operational control.
- Follow the civil aviation guidance (Resolution & Enforcement Manual) for further resolution.

2) **Safety of flight**. When an organization or individual has operated or allowed the operation of an aircraft contrary to safety limitations or regulations that clearly compromised that flight, this constitutes a safety of flight concern that must be addressed before further flight.
   - The inspector must advise the company management and persons directly associated with the safety of flight situation.
   - Consider whether the issuance of a Prevent Flying Order is necessary for safety.
   - Follow the methodology outlined in the Resolution and Enforcement Manual.
3) **Non-conformance with regulations**. Conformance with regulations is a requirement. Inspectors cannot authorize or condone any operations that are not in compliance with the aviation regulations.
   - The inspector must notify the person(s) involved in the non-conformance of the regulatory requirement that they must immediately cease any practice that will result in failure to comply with the regulations.
   - To the extent that an operator modifies their practices to stay in conformance with the regulations, they may continue operations.
   - Complete the resolution process outlined in the Resolution and Enforcement Manual.
4) **Non-adherence to a published safety practice.** Conformance with published safety practices is necessary to safe operation. Again, inspectors cannot authorize or condone any operations that do not comply with published safety practices
   - The inspector must identify and discuss the safety practices that are not being followed with the persons directly involved in the operation.
   - To the extent that an operator indicates a willingness to modify their practices to conform with the published safety practice, they may be allowed to continue operations.
   - Complete the resolution process outlined in the Resolution and Enforcement Manual.
5) **Inadequate System Function.** When a deficiency in a company process or procedure is identified as a result of an accident, incident or inspection it becomes a safety concern. The organization must be advised of that safety concern.
   - The priority for correction will be based on the latent likelihood of an occurrence relating to that deficiency.
   - For trend tracking purposes it is classified as an inspector observation.
6) **Inspector observation.** Inspectors may make observations based on their training and qualifications, but that are not well publicized in the aviation community.
   - The inspector may discuss the observations with the persons directly involved in the operation, or hold the information pending a discussion with company management personnel.

7.4 INDIVIDUAL OR COMBINED SAFETY CONCERNS?

A. After the inspector has identified a safety concern, he must consider whether it should be resolved on an individual or combined basis. There are a number of considerations. These considerations center around whether the CAA would like to process the concerns on—

1) For emphasis (individual basis)
2) For tracking possible trends (individual basis)
3) For ease of tracking corrective action (combined basis)

B. The individual basis will be chosen when the concern needs to have specific focus. This action will require the concern to be resolved on a separate basis - rather than in a group resolution. This will require that a safety concern form for this specific concern be completed.

C. The combined basis will be chosen when routine findings are found during a specific inspection. In this case, all of the "routine" findings could be included under one CAA Action safety concern record.

- The best example would be the results of an aircraft inspection.
- If all of the findings were concerns that could be routinely expected to be found on an aircraft inspection, these findings would be listed in a single safety concern record.

- Generally if the safety concern needs to be tracked for trends of non-compliance, it is better to track individual safety concern for each different regulation that is not being complied with.

D. Many occasions require a mixture of both. It is critical that the inspector be able to review the concerns and decide as to the need to handle them with a single or multiple safety concern form.

E. For example, a ramp inspection of an aircraft ready for departure may identify 10+ concerns.

- If they are all minor, one safety concern form could be used.
- If they are all major concerns, 10+ separate safety concern forms might be used.
- But the more normal situation would be only 1 or 2 focused concerns, with the remainder combined into a single concern.

7.5 RECOMMENDED SAFETY FINDING DISCUSSION

The purpose of this section is to recommend phrasing for entering the safety concern findings in the database.

7.5.1 THE HEADLINE

A. The user should consider using a short phrase or sentence which is to function as the "headline" for the concern. The intent of the headline will be to--

1) Focus the non-technical reader on the importance of the concern;
2) Focus the writer as to the priority of the concern; and
3) Allow a database user to select the proper concern from the view list

B. Examples of headlines include--

- "UNAIRWORTHY AIRCRAFT"
- "UNSAFE TOOL"
- "UNQUALIFIED PILOT"
- "FAILURE TO....."
- "TOOL NOT CALIBRATED."
- "NON-ADHERANCE TO SAFETY PRACTICE" (32 characters)
- "NON-CONFORMANCE WITH OPERATING CHECKLIST" (40 characters)

EXAMPLE: "Unsafe Radar Antenna...."

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7.5.2 THE TECHNICAL FINDING

A. Immediately following the "headline," the user should enter the technical finding.

B. This should be one or more sentences that states in technical terms why the inspector believes the concern found is contrary to a regulation or relevant safety practice.

EXAMPLE: "Unsafe Radar Antenna. ***The radar antenna was painted blue with a substance not in accordance with the manufacturer's standard……"***

C. This should be complete enough that a technical inspector would understand why this matter was a safety concern.

7.5.3 THE NON-TECHNICAL IMPORTANCE OF FINDING

A. It is critical for most safety findings to include a short discussion indicating why, in non-technical terms, this finding is considered a safety concern.

B. This may be in one or more sentences

C. This statement should be complete enough that a non-technical person will be able to understand why this matter is a safety concern.

EXAMPLE: "Unsafe Radar Antenna. The radar antenna was painted blue with a substance not in accordance with the manufacturer's standard. ***Failure to comply with the manufacturers requirement could result in inaccurate altitude readings to the pilot. Inaccurate altitude information has been a contributing factor to aircraft accidents..***…"

- The inspector may choose to include this information in his Risk Statement text (required for High & Medium Risk) rather than the Safety Concern text.

7.5.4 THE CIRCUMSTANCES

A. Many times it is necessary to include more discussion about the events leading up to the safety finding to enable the understanding of why the concern is significant.

B. This portion of the statement should include a discussion of the number of times this concern has already been a safety factor. It should also include references to any known approvals for the operator or individual that are at risk.

EXAMPLE: "Unsafe Radar Antenna. The radar antenna was painted blue with a substance not in accordance with the manufacturer's standard. Failure to comply with the manufacturers requirement could result in inaccurate altitude readings to the pilot. Inaccurate altitude information has been a contributing factor to aircraft accidents. ***The aircraft had been operated on 10 flights since the paint has been applied. The airline has approval for Category II instrument approaches."***

7.5.5 OTHER ITEMS OF PROOF

A. It is not necessary to put more detailed facts and information in the safety concern finding. This type of specific information regarding your findings should be in the form of inspector statements, witness statements, copies of records, letters of correspondence, etc., which should be collected as items of proof (see Chapter 16 of the Resolution Manual).

B. It is a good practice, even with simple findings, to draft an inspector statement on the spot. Use the Enforcement Investigation Report {EIR] standard form (Parts A, B and C) to focus your mind on the proper collection of related information and items of proof.

C. These items of proof will later be linked via the CASORT Document Control to your specific safety concerns. This linking will have the effect of consolidating all of the necessary documentation regarding your safety concern and its resolution together.

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7.6 ASSESSING RISK

A. This section is not intended to be a complete review of the concepts involved in risk analysis.

B. It provides guidance for selection of risk levels during completion of the Safety Concern entry form.

> The inspector should consult ICAO Document 9859 for a complete discussion of risk analysis and mitigation.

C. It also provides guidance in the drafting of text for the Risk Statement field.

7.6.1 IDENTIFY THE HAZARD(S)

A. The first step in risk analysis is to identify the inherent hazard associated with the safety finding; then make a subjective assessment of the potential—

1) Likelihood of an occurrence in which that hazard is involved; and

2) Severity of that occurrence.

B. A hazard is something that exists now (in the present) that creates a potential unsafe situation.

- For example, a mountain near the airport is a hazard - it exists now.

C. The "risk" associated with that hazard is determined by a projected assessment of the possibility that the hazard will be a primary or contributing factor to a safety event.

7.6.2 DETERMINE SEVERITY OF UNSAFE OCCURRENCE

A. Using the following chart, make a subjective judgement as to the possible severity of an occurrence relating to the finding made by the inspectors. Use the severity bullet descriptions to assist in the determination.

SEVERITY TABLE		
4	**Catastrophic**	• **Loss of equipment** • **Multiple fatalities**
3	**Hazardous**	• **Large reduction in safety margins** • **Physical distress or a high workload such that operations cannot be relied upon to perform their tasks accurately or completely** • **Serious or fatal injury to a number of people** • **Major equipment damage**
2	**Major**	• **Significant reduction in safety margins** • **Reduction in the ability operations to cope with adverse operating conditions as a result of and increase in workload, or as a result of conditions impairing their efficiency** • **Serious incident** • **Injury to persons**
1	**Minor**	• **Nuisance** • **Operating limitations** • **Use of emergency procedures** • **Minor incident**
0	**Negligible**	• **Little consequence**

B. From the most applicable severity bullet descriptions, select the number from the left column for use with the risk analysis matrix.

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7.6.3 DETERMINE LIKELIHOOD OF UNSAFE OCCURRENCE

A. Using the following chart, make a subjective judgement as to the likelihood of an occurrence relating to the finding made by the inspector. Use the Likelihood bullet descriptions to assist in the determination..

LIKELIHOOD TABLE			
4	**Probable**	**1.000 to 10,000 Departures**	● **LIkely to occur many times** ● **In reference to aircraft fleet operations, may occur once or several times during operational life**
3	**Remote**	**10,000 to 100,000 Departures**	● **Likely to occur sometimes** ● **In reference to aircraft fleet operations, likely to occur during total operational life of each system** ● **But may occur several times when considering several systems of the same type**
2	**Extremely Remote**	**100,000 to 1,000,000 Departures**	● **Unlikely, but possible to occur** ● **In reference to aircraft fleet operations, unlikely to occur when considering systems of the same type,** ● **But has to be considered as being possible**
1	**Extremely Improbable**	**More than 1,000,000 Departures**	● **Very unlikely to occur** ● **In reference to aircraft fleet operations, should virtually never occur in the whole fleet life**
0	**No Factor**		● **So unlikely it can be assumed that it may never occur** ● **Almost inconceivable that the event will occur**

B. From the most applicable likelihood bullet descriptions, select the number from the left column for use with the risk analysis matrix.

7.6.4 USE THE RISK MATRIX TO DETERMINE THE LEVEL OF RISK

A. Using the numbers derived from the Severity and Likelihood tables, find where these numbers will intersect in the risk matrix chart.

SEVERITY					
Catastrophic	4	4 Review	8 Unacceptable	12 Unacceptable	16 Unacceptable
Hazardous	3	3 Acceptable	6 Review	9 Unacceptable	12 Unacceptable
Major	2	2 Acceptable	4 Acceptable	6 Review	8 Unacceptable
Minor	1	1 Acceptable	2 Acceptable	3 Acceptable	4 Review
		Extremely Improbable 1	Extremely Remote 2	Remote 3	Probable 4
		Likelihood of Occurence			

B. The level of risk as taken from this matrix will be—

1) Red area = High Risk
2) Yellow area = Medium Risk
3) Green area = Low Risk

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7.6.5 USING THE RISK DETERMINATION

A. As applicable to the Safety Concern Resolution form, the user will make a selection of the—

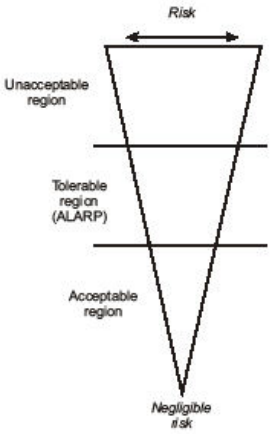
1) Initial risk determination when entering the concern; and

2) Final risk determination when resolving the concern

> The initial risk analysis may be evaluated and revised by the CAA safety committee.

B. The priority of the resolution of the finding and the associated hazards identified will be based on the initial risk selection.

C. As depicted in the diagram to the right, the level of risk tolerance is based on the risk analysis—



- High Risk is unacceptable and cannot be tolerated by the CAA.
- Medium Risk may be manageable, but priority corrective actions must be undertaken to mitigate the risk.
- Low Risk is acceptable. but the CAA, certificated organizations and individuals involved must be aware of these risk and follow appropriate guidelines.

7.6.6 RISK STATEMENT

A. The initial risk statement should include—

1) A description of the identified hazard;

2) A discussion for why that hazard may present a risk to the operations of the organization or individual; and

3) How frequent the risk may be encountered.

> A risk statement is not required for those findings given an initial risk analysis of Low Risk or Non-Risk.

B. The following are considered acceptable risk statements—

- A 3,000 MSL (2400 AGL) mountain is located 3 miles north of the Shelbyville aerodrome. There is no published departure procedure for Runway 36. The aircraft fleet operated by Anywhere Airlines generally does not reach adequate clearance altitude until they are 4 miles from the airport. The airline makes on average 30 departures a month on Runway 9. They estimate that 6 of those monthly departures of those departures are in instrument weather conditions.
- The vertical stabilizer is difficult to inspect and service because of its high above the ground. It can only be checked with the lift. Anywhere Airlines does not own a lift and must borrow on Aircraft Maintenance Services. The maintenance program requires frequent inspection and service of the stabilizer.

C. The risk statement should be transposed to a risk worksheet for further resolution by the inspector.

D. An final risk statement made be included following the initial risk statement to describe the mitigation that occurred.

7.7 UP-DATING SAFETY CONCERN RESOLUTION / MITIGATION SUMMARY

The purpose of this Section is to provide guidance on the process for summarizing and documenting safety concern resolution.

7.7.1 INITIAL ENTRY OF INFORMATION

A. In the following record, Inspector Sanchez opened a safety concern and—

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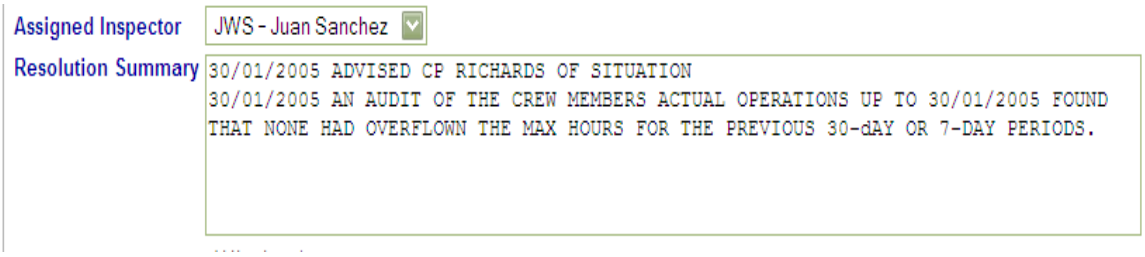
- Immediately advised the Chief Pilot (Richards) of the finding;
- Then checked to see if there were any actual violations of the regulation.

B. Because both of these actions were taken prior to entering the CAA Action and SI Record, there is no need to accomplish any other CAA Action record for this concern.


Assigned Inspector
JWS - Juan Sanchez
Resolution Summary
30/01/2005 ADVISED CP RICHARDS OF SITUATION
30/01/2005 AN AUDIT OF THE CREW MEMBERS ACTUAL OPERATIONS UP TO 30/01/2005 FOUND THAT NONE HAD OVERFLOWN THE MAX HOURS FOR THE PREVIOUS 30-dAY OR 7-DAY PERIODS.

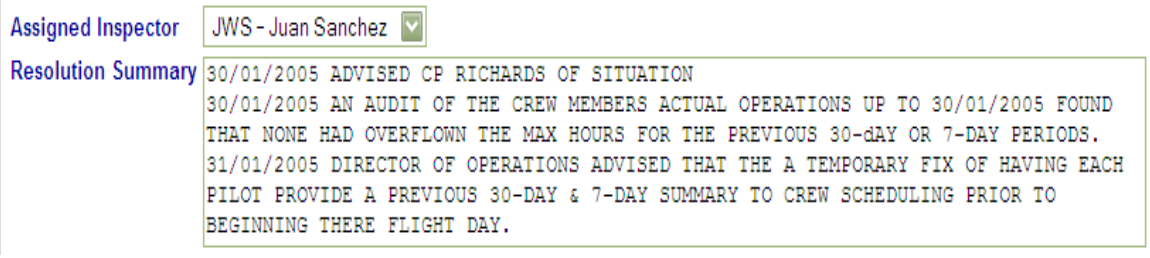
7.7.2 CONTINUING UPDATING OF RESOLUTION SUMMARY

A. On 31 January, the Director of Operations advised Inspector Sanchez that a temporary fix was in place. Inspector Sanchez—

- Opened the safety concern record,
- Added a note to the Resolution Summary to that effect,
- Select ***GO***

- The generic 1008 CAA Action record is used when there is no EVALUATION or INSPECTION conducted
- This entry makes a record on the specific date that a SI Resolution event occurred.

.


Assigned Inspector
JWS - Juan Sanchez
Resolution Summary
30/01/2005 ADVISED CP RICHARDS OF SITUATION
30/01/2005 AN AUDIT OF THE CREW MEMBERS ACTUAL OPERATIONS UP TO 30/01/2005 FOUND THAT NONE HAD OVERFLOWN THE MAX HOURS FOR THE PREVIOUS 30-dAY OR 7-DAY PERIODS.
31/01/2005 DIRECTOR OF OPERATIONS ADVISED THAT THE A TEMPORARY FIX OF HAVING EACH PILOT PROVIDE A PREVIOUS 30-DAY & 7-DAY SUMMARY TO CREW SCHEDULING PRIOR TO BEGINNING THERE FLIGHT DAY.

B. On 31 January, Inspector Perkins was assigned to resolve the safety concern. He immediately visited crew scheduling to confirm the corrective action and found it acceptable. He then—

- Opened the safety concern record,
- Revised the assigned inspector,
- Added a note to the Resolution Summary to that effect,
- Selected ***GO*** - and then:

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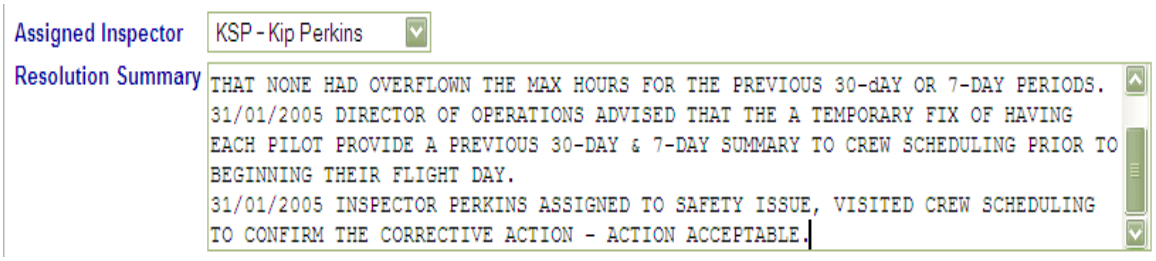
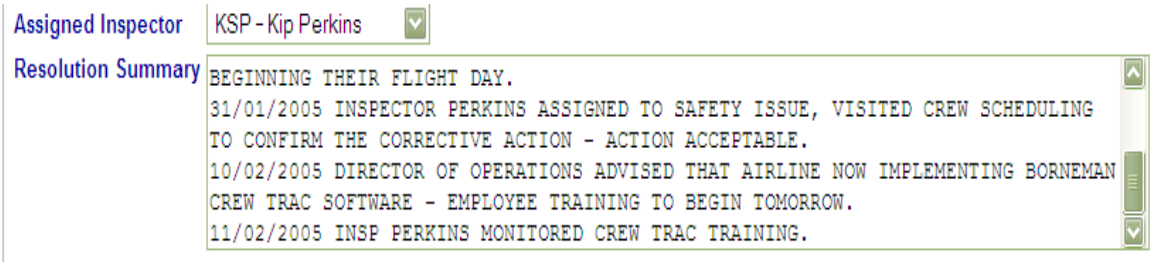
- Entered a CAA ACTION EVALUATION record (Crew Flight Time Records) ***A=Approved/Accepted***.


Assigned Inspector
KSP - Kip Perkins
Resolution Summary
THAT NONE HAD OVERFLOWN THE MAX HOURS FOR THE PREVIOUS 30-dAY OR 7-DAY PERIODS.
31/01/2005 DIRECTOR OF OPERATIONS ADVISED THAT THE A TEMPORARY FIX OF HAVING
EACH PILOT PROVIDE A PREVIOUS 30-DAY & 7-DAY SUMMARY TO CREW SCHEDULING PRIOR TO
BEGINNING THEIR FLIGHT DAY.
31/01/2005 INSPECTOR PERKINS ASSIGNED TO SAFETY ISSUE, VISITED CREW SCHEDULING
TO CONFIRM THE CORRECTIVE ACTION - ACTION ACCEPTABLE.

C. On 10 February, the Director of Operations called Inspector Perkins to advise that they were going to implement the Crew Trac system for flight time records and begin training. Inspector Perkins—

- Opened the safety concern record
- Added a note to the Resolution Summary to that effect
- Selected ***GO*** - and then
- Entered a generic 1008 CAA Action Record to document that effort (5 default entries - plus the organization and management representative's names).


Assigned Inspector
KSP - Kip Perkins
Resolution Summary
BEGINNING THEIR FLIGHT DAY.
31/01/2005 INSPECTOR PERKINS ASSIGNED TO SAFETY ISSUE, VISITED CREW SCHEDULING
TO CONFIRM THE CORRECTIVE ACTION - ACTION ACCEPTABLE.
10/02/2005 DIRECTOR OF OPERATIONS ADVISED THAT AIRLINE NOW IMPLEMENTING BORNEMAN
CREW TRAC SOFTWARE - EMPLOYEE TRAINING TO BEGIN TOMORROW.
11/02/2005 INSP PERKINS MONITORED CREW TRAC TRAINING.

D. On 11 February, Inspector Perkins monitored the crew trac training. At the end of the day, he—

- Opened the safety concern record
- Revised the assigned inspector,
- Added a note to the Resolution Summary to that effect,
- Selected ***GO*** - and then:
- Entered a CAA ACTION INSPECTION record (Training-in-Progress) to document that inspection.

E. On 12 February, he repeated the sequence shown in paragraph D.

F. On 15 February, the company submitted the documentation requesting approval of the Crew Trac System of Record. Inspector Perkins immediately evaluated it and—

- Opened the safety concern record,
- Added a note to the Resolution Summary to that effect,
- Selected ***GO*** - and then:

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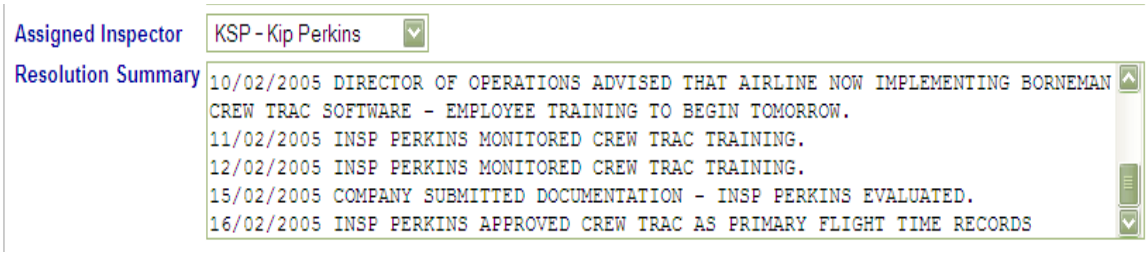
- Entered a CAA ACTION EVALUATION RECORD (Crew Flight Time Records) ***I=In Work.***


Assigned Inspector
KSP - Kip Perkins
Resolution Summary
10/02/2005 DIRECTOR OF OPERATIONS ADVISED THAT AIRLINE NOW IMPLEMENTING BORNEMAN CREW TRAC SOFTWARE - EMPLOYEE TRAINING TO BEGIN TOMORROW.
11/02/2005 INSP PERKINS MONITORED CREW TRAC TRAINING.
12/02/2005 INSP PERKINS MONITORED CREW TRAC TRAINING.
15/02/2005 COMPANY SUBMITTED DOCUMENTATION - INSP PERKINS EVALUATED.
16/02/2005 INSP PERKINS APPROVED CREW TRAC AS PRIMARY FLIGHT TIME RECORDS

G. ON 16 February, Inspector Perkins completed the evaluation and—

- Repeated the paragraph F sequence, except he:
- Entered a CAA ACTION EVALUATION RECORD (Crew Flight Time Records) A=Approved]

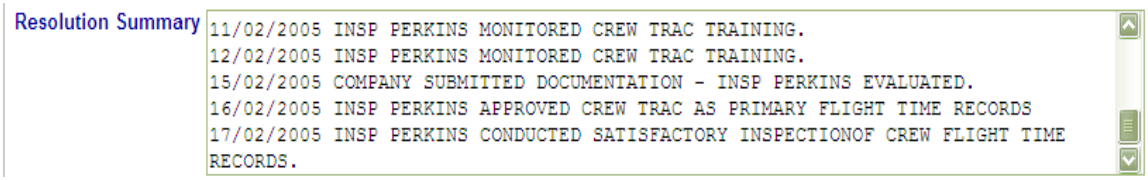
7.8 CLOSING SAFETY CONCERNS

The purpose of this section is to provide guidance on the final resolution entries in the Safety Concern form.

7.8.1 FINAL RESOLUTION

On 17 February, Inspector Perkins conducted an inspection of the company's crew flight time records. No concerns were identified. Inspector Perkins—

1) Entered a CAA ACTION INSPECTION record (Crew Flight Time Records) S=Satisfactory,
2) Opened the safety concern record,
3) Added a note to the Resolution Summary to that effect,

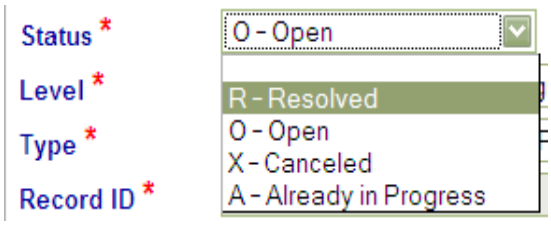

Resolution Summary
11/02/2005 INSP PERKINS MONITORED CREW TRAC TRAINING.
12/02/2005 INSP PERKINS MONITORED CREW TRAC TRAINING.
15/02/2005 COMPANY SUBMITTED DOCUMENTATION - INSP PERKINS EVALUATED.
16/02/2005 INSP PERKINS APPROVED CREW TRAC AS PRIMARY FLIGHT TIME RECORDS
17/02/2005 INSP PERKINS CONDUCTED SATISFACTORY INSPECTIONOF CREW FLIGHT TIME RECORDS.

4) Entered the Final Resolution Date,
5) Selected himself as the resolving inspector,
6) Selected the general method by which the safety concern was resolved.
7) Selected the final risk analysis.

7.8.2 CLOSING THE RECORD

A. The final action is to go to the top of the record and change the record status from OPEN to RESOLVED. Until this action takes place the record will remain OPEN as a final check.

B. Some civil aviation authorities have a policy that only the supervisor may make this change to ensure that a last double-check of the completed record is made prior to taking it off the OPEN list.



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Chapter 8
Admin Tracking Database

A. The CASORT database currently contains an Admin Tracking database that allows the user (with the proper permissions) to insert administrative details for tracking to completion or correction.

- Use only for administrative issues.
- Do not use this database for tracking of Safety Concerns.

B. This feature is provided to give users the capability to track identified non-safety concerns to correction.

8.1 WHAT IS AN ADMINISTRATIVE ISSUE?

A. An administrative issue is one that—

1) Can be corrected by issue or modification of "paperwork;" and

2) Has low, negligible or no risk associated if not corrected promptly.

B. These types of issues can be encountered by inspectors during the accomplishment of their assigned functions.

It is important that inspectors recognize the need to treat these issues different from safety concern.

- For example, an inspector determines that the organization does not have a copy of the latest approval issued by the CAA for a maintenance program (schedule). This would be entered into Admin Tracking.
- For example, an inspector found that a maintenance person's license had expired two days before the inspection. The maintenance person was advised to submit the application for renewal on the sport. A day later, the CAA reissued the license. There was no safety or proficiency concerns related to the expiration. This would be entered into Admin Tracking.

8.2 VIEW OPEN ISSUES IN ADMINISTRATIVE TRACKING

A. To view Admin Tracking issues, select ***View*** on the Home Page bar.

B. That will bring up the Admin Tracking View page defaulted to display those issues that are still "I =In Work."

C. Use the Search function to display other View lists.

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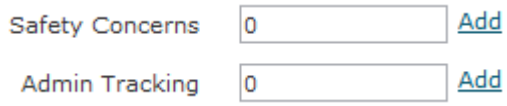
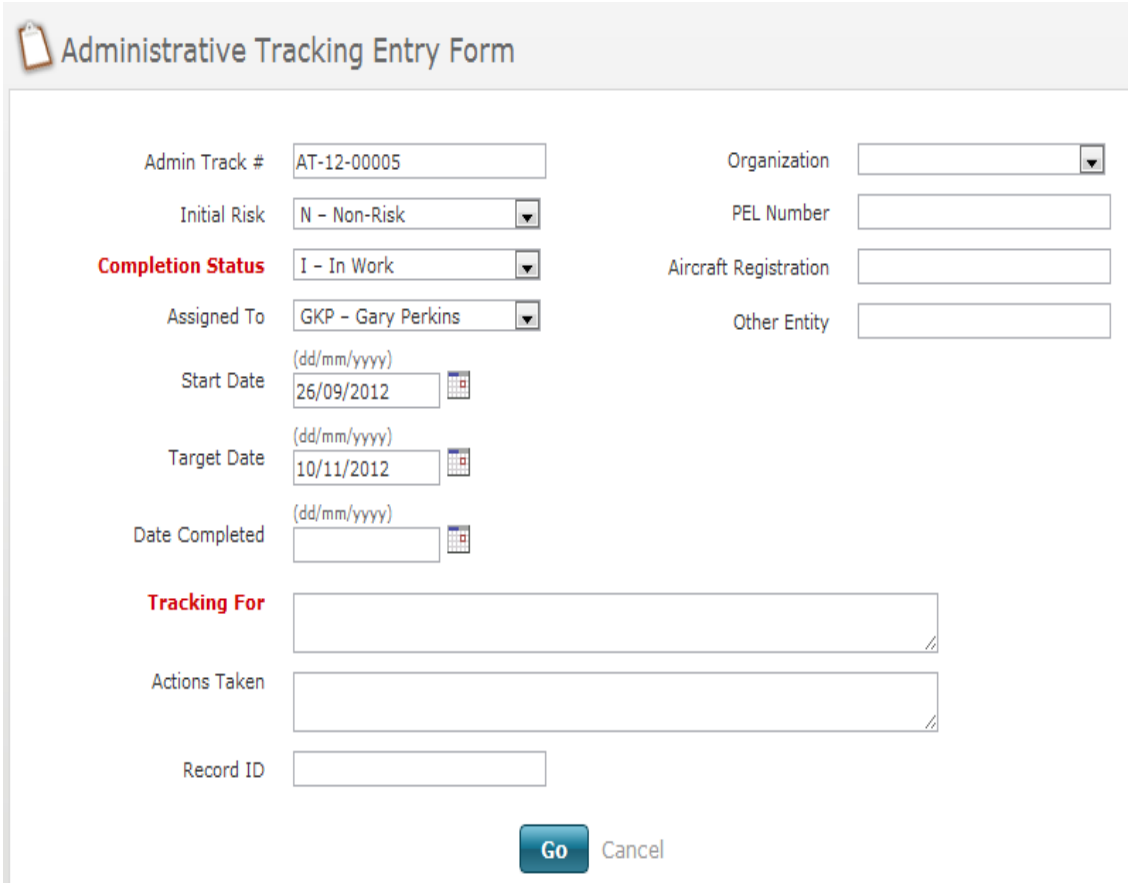
8.3 ENTER AN ISSUE FOR ADMINISTRATIVE TRACKING

A. During the entry of an Action Record, the inspector may attach the issue to that record by selecting the ***Add*** link at the bottom right corner of the Action entry form just below the safety concern counter/link.



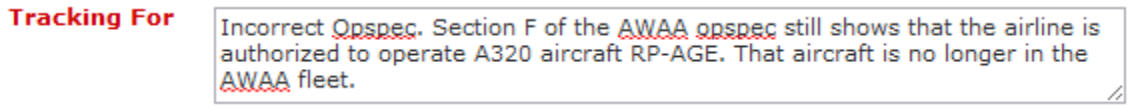
B. Selection of that link will bring up an Admin Tracking entry form.



C. The entry form is defaulted to contain the following—

- Admin Tracking number is already assigned.
- The Initial Risk is defaulted to “Non-Risk.”
- Completion Status is defaulted to “In-Work”
- The person initially assigned to ensure tracking will be the identifying inspector.
- The Start Date is defaulted to the date of entry.
- The Target Date is defaulted to 45 days in the future.

D. The only field which must be completed to “save” the record is the Tracking For.


Tracking For
Incorrect Opspec. Section F of the AWAA opspec still shows that the airline is authorized to operate A320 aircraft RP-AGE. That aircraft is no longer in the AWAA fleet.

E. For ease of referring back to the record, the identifying points of the issue should be stated early in the discussion (see example).

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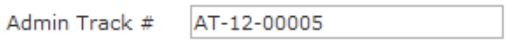
8.4 FIELD CHARACTERISTICS & MENUS

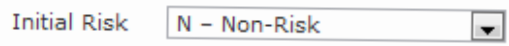
8.4.1 ADMIN TRACKING NUMBER

The Admin Tracking number is auto-assigned by the database software.

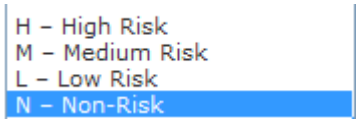


8.4.2 INITIAL RISK ANALYSIS

A. The Initial Risk Analysis is a drop-down menu that is defaulted to N = Non-Risk. (By definition an Admin issue is negligible or no safety risk.

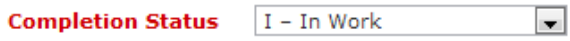


B. The choices in the drop-down menu are the same as shown on the same menu in the Safety Concern database.

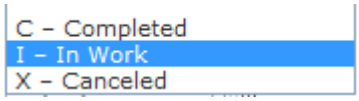


8.4.3 COMPLETION STATUS

A. The Completion Status is a drop-down menu that is defaulted to I= In-Work. It is a required field for saving the record.

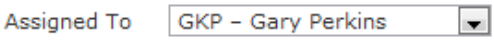


B. There are 3 choices in the drop-down menu.



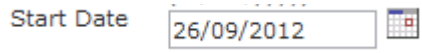
8.4.4 ASSIGNED TO

The Assigned To field is a drop-down menu that includes all authorized users of the database. It defaults to the person who initially entered the issue.



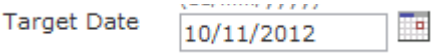
8.4.5 START DATE

The Start Date is defaulted to the date of entry of the Admin issue. It should be changed if the issue was identified on a different date.t



8.4.6 TARGET DATE

The Target Date field is defaulted to 45 days in the future. It should be changed if the user intends that a different target date apply.



8.4.7 DATE COMPLETED

The Date Completed field must be entered by the user assigned to complete the tracking of this issues.

8.4.8 TRACKING FOR

A. The Tracking For field is intended for the identification of the issue that is being tracked. (This field is required to “save” the record.

B. It is recommended that the user attempt to identify the generic issue in 50 characters, then continue to explain the details of the issue.

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8.4.9 ACTIONS TAKEN

The Actions Taken (for correction) field is provided for the user to keep a record of the details (date, person, action) of the actions taken to correct the issue.

8.4.10 RECORD ID

The Record ID is intended as a key field for the database software and generally provides no function for the user.

8.4.11 ORGANIZATION

The Organization field is a drop-down menu that allows the user to further identify the issue to a specific organization.

8.4.12 PEL NUMBER

The PEL Number field is a free-form entry field that allows the user to further identify the issue to a specific PEL license holder.

8.4.13 AIRCRAFT REGISTRATION

The Aircraft Registration field is a free-form entry field that allows the user to further identify the issue to a specific aircraft.

8.4.14 OTHER ENTITY

The Other Entity field is a free-form entry field that allows the user to further identify the issue to an entity other than the previous 3 fields.

8.5 ENTER ISSUE FROM HOME PAGE

A. If a user is authorized to enter an Admin issue, they may be entered from the Home Page by selecting ***Enter***

B. This capability is intended primarily for administrative support personnel that do not normally enter Action records.

End of Chapter

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Chapter 9
Aircraft Approvals & Data Collection

A. The CASORT Suite of databases contains two primary methods to collect and track information about specific aircraft that are operated under the safety oversight of the CAA.

B. The CAA Action database recording the specific aircraft registration and aircraft type associated with an inspector work action;

- This allows the searching of the *CAA Action records* through the use of the view, search and standard report capability of the computer.

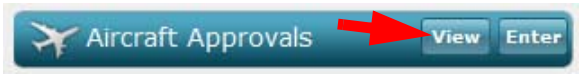
C. The Aircraft datase recording the detailed information regarding a particular aircraft in the special AIRCRAFT tables provided with CASORT database.

- This allows *much more detailed* viewing, searching and reporting capability specific to the aircraft than could be accomplished through the CAA Action database.

9.1 ACCESSING A CURRENT AIRCRAFT APPROVALS RECORD

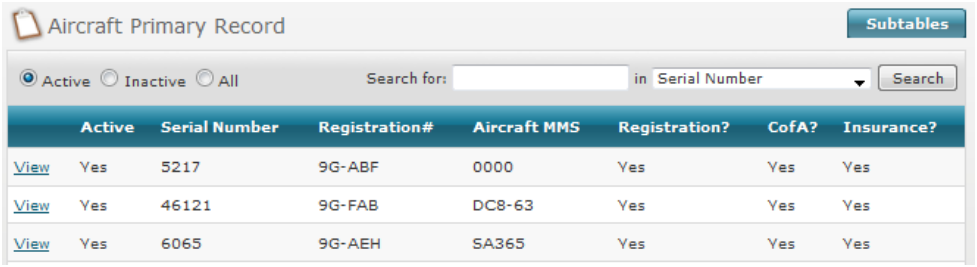
To access a current Aircraft Primary record from the Home Page, move to the right cernter group of links (under the tab labeled Aircraft and

1) Select the***View*** button on the Aircraft Approvals bar;



2) That action will display the listing of ALL Aircraft Primary records in the database;

- Remember that the list is defaulted to display the last record entered at the top of the list.
- Remember that you can adjust this list by clicking on the header labels to make the list ascending or descending for that column.;



	Active	Serial Number	Registration#	Aircraft MMS	Registration?	CofA?	Insurance?
View	Yes	5217	9G-ABF	0000	Yes	Yes	Yes
View	Yes	46121	9G-FAB	DC8-63	Yes	Yes	Yes
View	Yes	6065	9G-AEH	SA365	Yes	Yes	Yes

3) From the list, select the Aircraft record that you would like to access by clicking on ***View*** (in the far left column);

- You may need to use the ***Search*** function at the top to find the specific record by registration number.

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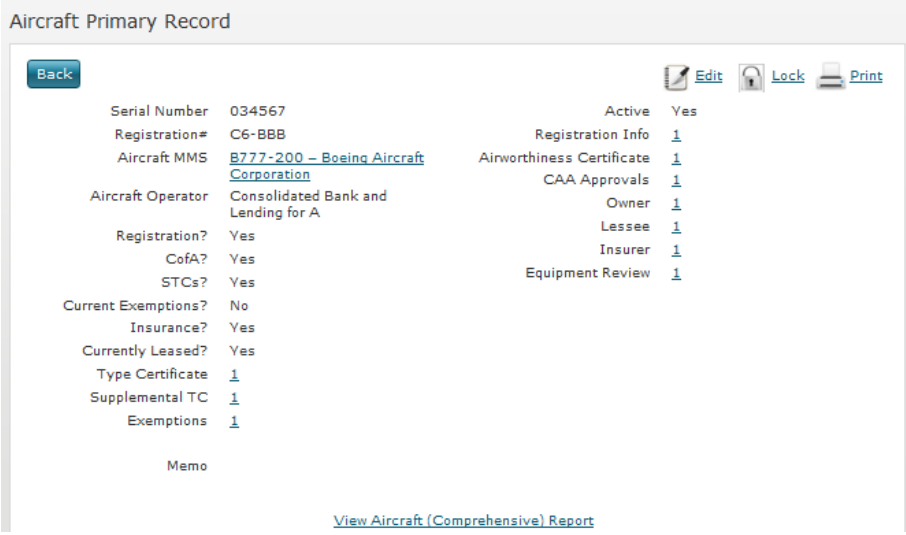
4) That action will display the View screen for the related record;



5) The user may now take the following actions —

- To add new information to the Aircraft Record – select ***Edit*** – which will open the Primary record to enter new data in the Primary Record or its sub-tables.

  Choose this action to add new sub-table information.

- To revise existing data to this – by placing the cursor on the ***underlined number*** to right of the appropriate sub-table and selecting that number.

  Choose this action to edit sub-tables.

- Select ***View Aircraft Comprehensive Report*** – which will auto-fill this record number in preparation for extracting this report.

  Choose this action to view and print a comprehensive report for this Aircraft.

- Selecting ***Back*** will return the user to the listing of Aircraft.

9.2 PRINTING THE COMPREHENSIVE REPORT

If the user would like to print a comprehensive report of the pertinent portions of the CAA's complete record regarding this Aircraft', he should —

1) From the View page of the Aircraft Primary Record, select ***View Aircraft Comprehensive Report***;

2) That action will display the report filter page auto-filled with this Aircraft's serial number;

   - Note the record is defaulted to "Active Only," which would be the normal report select.

3) If the user purpose is to just view the report, select ***Generate Report***;

   - If you desire to print a formal report, you may choose to completet the comments field to insert the purpose of the report (refer to chapter 13 for more specific discussion)

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4) That action will display the Aircraft comprehensive report in a separate web page

Aircraft (Comprehensive)

Aircraft Primary Record

Active?	Serial Number	Aircraft MMS
Yes	123456:B777	B777-300

Aircraft Registration Info

Active?	Registration#	Date Registered
Yes	RP-C3434	15/08/2012

Aircraft Airworthiness Certificate

Active?	Registration#	Issue Date	Basis	Expiration Date
Yes	RP-C3434	15/08/2012	S	31/08/2013

Aircraft Owner

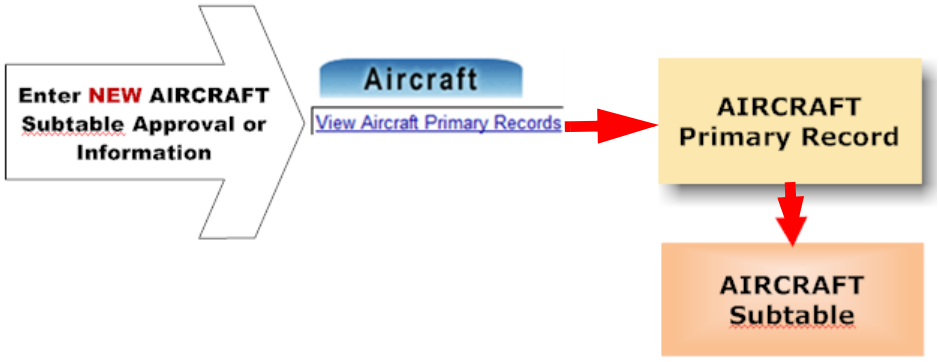
Active?	Owner	City	State or Province	Country	Phone
Yes	Anstel Light Brewing Co	Manila		Philippines	

5) If a revision was made to this Aircraft record, print this current information and insert in CAA hard-copy file for this record.

- Discard the superceded hard-copy of the report from the Aircraft's file.
- The HTML report will be adequate for on-going updating of the hard-copy file.
- Consider constructing an Excel report for formal presentation to international auditors.

9.3 ADDING DATA TO AN EXISTING AIRCRAFT PRIMARY RECORD

To add data to an existing Aircraft Primaryrecord —



1) From the Home Page, select ***View*** button on the Aircraft Approval bar;

2) That action will display the listing of the aircraft in the database; select the ***View*** for the specific record to access;

3) That action will display the View Page for the specific record, now select ***Edit***;

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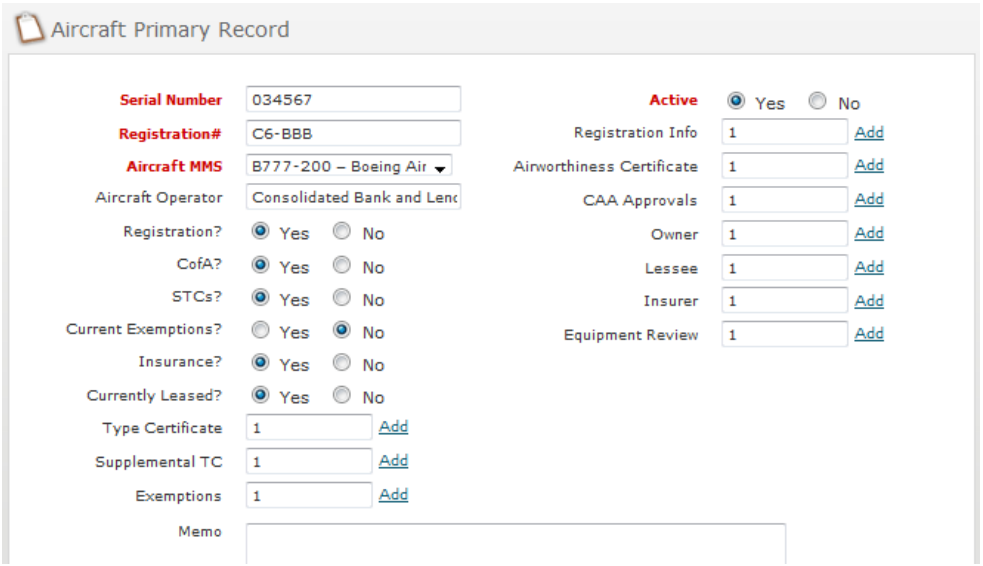
4) That action will display the Aircraft Primary record in the Entry mode.



5) The user may now *add* a new sub-table information by selecting the ***ADD*** button to the right of the appropriate sub-table label.

   - This action will display the selected sub-table data entry form.

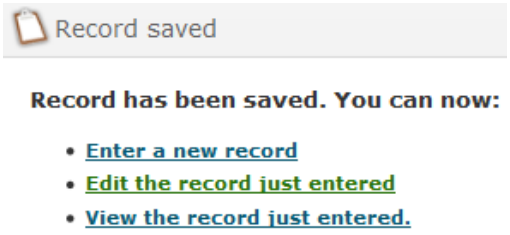
6) Complete that form in accordance with the guidance that is contained later in this chapter.

7) ***Save and Attach*** to the Primary Record;

8) Select ***GO***

9) This action will display the Record Saved links

   - The user will choose ***Edit the record just entered*** if more information is to be added to the Aircraft record,
   - The user will choose ***View the record just entered*** to edit any of the information in the sub-tables to this record.


Record saved
Record has been saved. You can now:
Enter a new record
Edit the record just entered
View the record just entered.

The user should move the cursor to select the ***Home*** tab if all work is completed on this particular record.

9.4 ENTERING A NEW AIRCRAFT MAKE/MODEL/SERIES

If this aircraft is a new aircraft make/model/series to the aircraft registry, the first step is to have the technical supervisor enter that information in the CAA Action aircraft sub-table in accordance with the instructions provided in Chapter 6.

It will NOT BE POSSIBLE to properly save the record unless this action is taken BEFORE starting the data entry in the Aircraft database.

9.5 ENTERING A NEW AIRCRAFT

A. Entering a new aircraft into the AIRCRAFT database is very simple.

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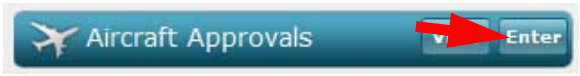
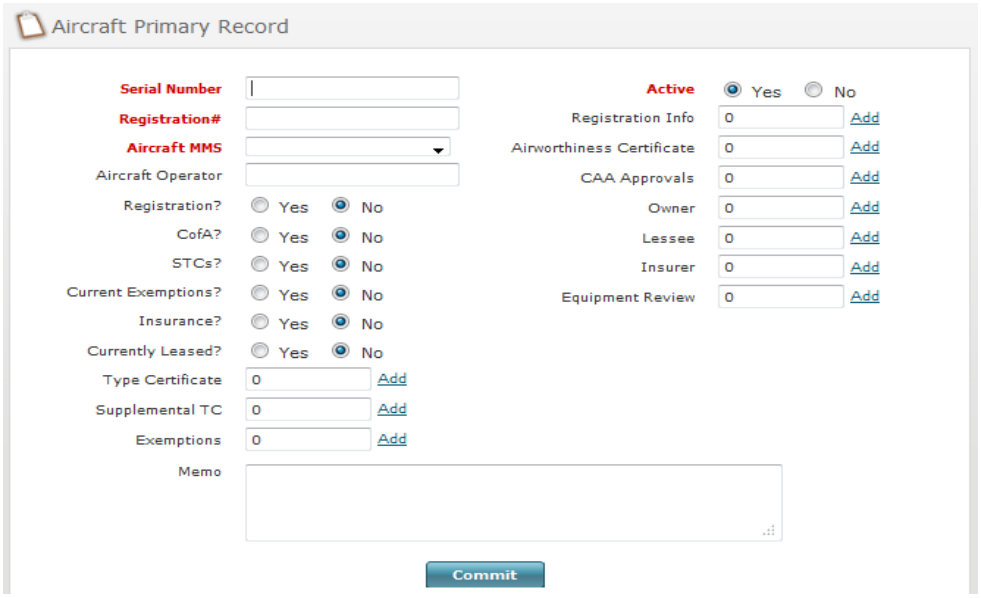
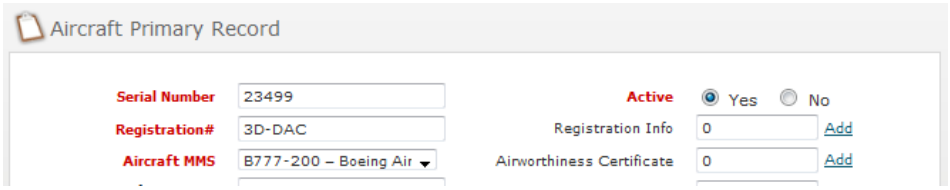
1) From the Home Page, select the ***Enter*** button on the Aircraft Approvals bar—



2) This will bring up the *Aircraft Primary Record entry* form. There are no noticeable default fields (other than the Yes/No radial buttons).

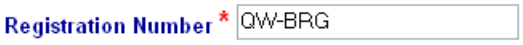


3) The user should now complete at least the 4 required (red label) fields before taking any other action relative to this record.



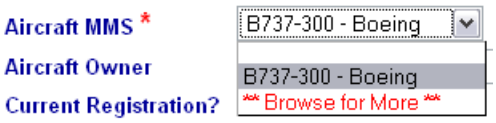
4) Enter the serial number of the aircraft. in this free-form 26 character field.

5) Enter the *current* aircraft registration number in this free-form 26 character field. The manner of data entry should be consistent.



- The presentation outlined here is country designator followed by a dash followed by the number assigned by the Registry.

6) The Aircraft MMS field is a drop-down menu that is the same as provided for the CAA Action database. Select the drop-down arrow and "Browse for More" to access the list of aircraft MMS that are currently available, select the aircraft.



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- If the user has reached this point and determines that Aircraft MMS is not in the available list, exit the data entry form without saving the record.
- Do not select a different MMS from the list intending to correct it later.

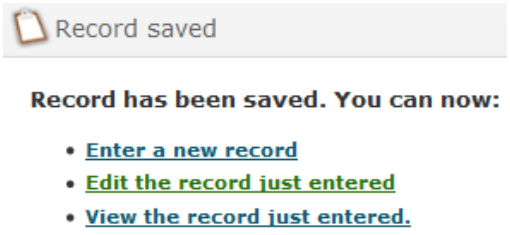
7) Enter the *current* aircraft owner in this free-form 26 character field. This field is on this page to allow sorting capability on the View page.

   ♦ It is repeated in the sub table for Aircraft Owner.

8) The "Active" Yes/No radial button is defaulted to "Yes."

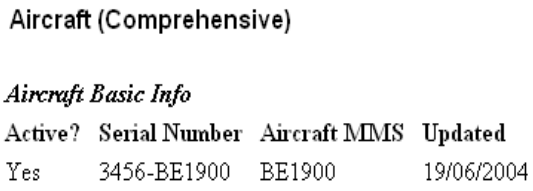
B. Assuming that the user is satisfied with the data that has been entered, it is now time to select ***GO***.

C. If the database confirms that the record has been saved, select ***Go to Home Page*** or ***Edit the record just entered***. The procedure associated with either selection will ultimately allow the user to return to the Aircraft Primary Record entry form to continue the editing of the record.


Record saved
Record has been saved. You can now:
Enter a new record
Edit the record just entered
View the record just entered.

This aircraft record is now a permanent file in the CAA database.

D. There is a standard printout report that will allow the user to have a paper record of their entry of a specific aircraft. It is available under the Reports tab on the Home Page. (The example is of a different aircraft than has been included in the examples previously shown).



Aircraft (Comprehensive)

Aircraft Basic Info

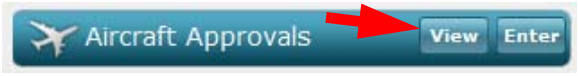
Active?	Serial Number	Aircraft MMS	Updated
Yes	3456-BE1900	BE1900	19/06/2004

9.6 COMPLETING OR EDITING THE AIRCRAFT RECORD

A. Now any user will be able to return to this saved record for the purpose of completing or editing the record.

The database creators recommend that the "new" entries to the sub tables be accomplished by entering the AIRCRAFT Primary Record, then "Add" the new record.

1) From the Home Page, select the ***View*** button on the Aircraft Approvals bar;



2) On the VIEW page, the specific aircraft can be found by—

   (a) Sorting the Registration Number column (click on column title) and finding the number in the new list; or

   (b) Sorting the Serial Number column and finding the correct number in the list;

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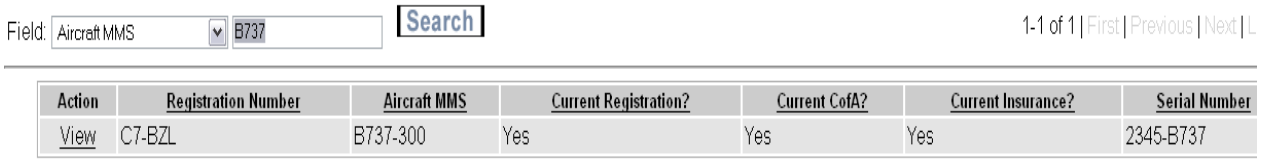
(c) Using the SEARCH function to "drill-down" to the specific aircraft. (In the example provided, the aircraft MMS was searched

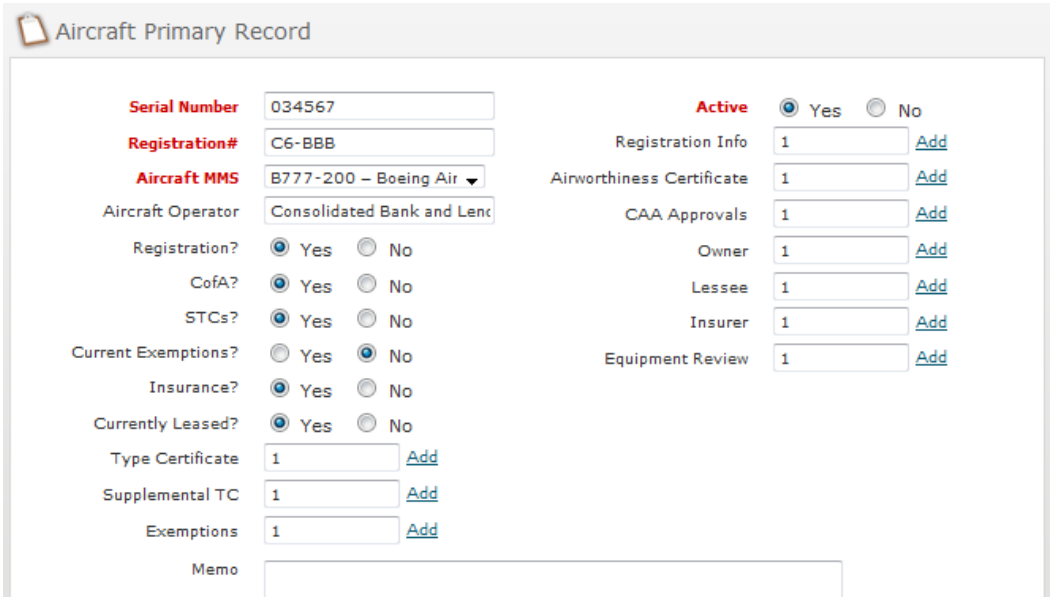
.)

As the CAA database grows, the SEARCH function will rapidly become the best method for finding the specific aircraft record.

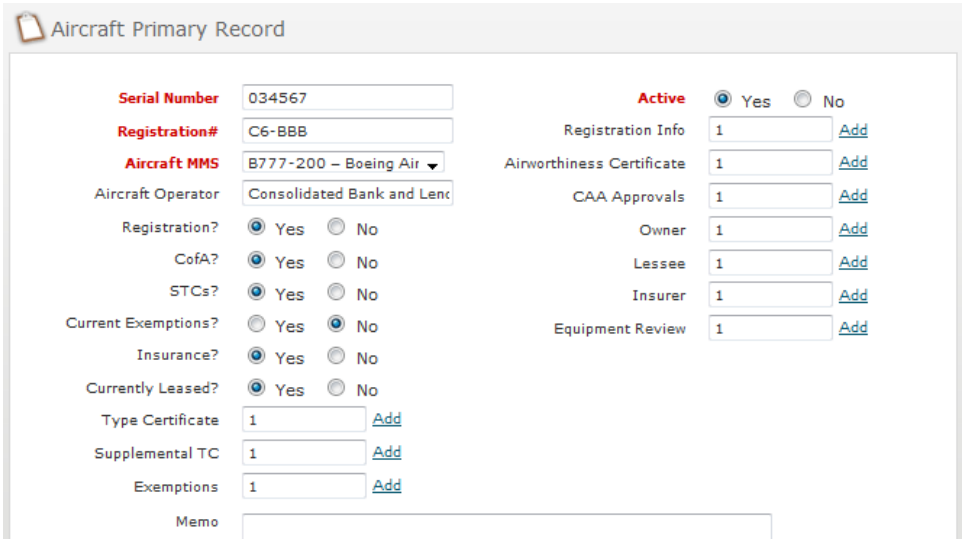


Action	Registration Number	Aircraft MMS	Current Registration?	Current CofA?	Current Insurance?	Serial Number
View	C7-BZL	B737-300	Yes	Yes	Yes	2345-B737

3) Selecting the view action word located in the left column of the View Page, will display the present contents of the specific aircraft record selected.



4) To access the actual record for the purpose of changing or adding to it, select EDIT.



B. The user may now edit the following fields—

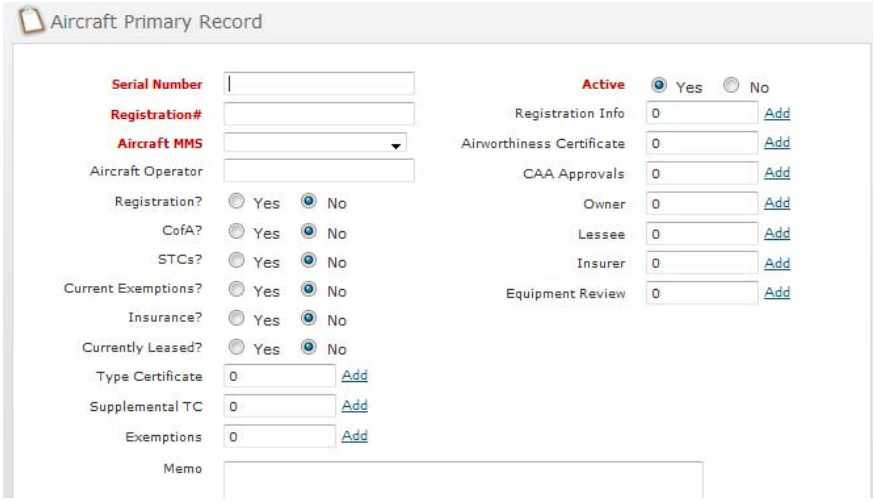
- Registration Number
- Aircraft Owner

C. The user may also edit the radial button, such as "Current Registration," but this revision should coincide with a change in the associated sub table. This will be explained later in this chapter.

D. All other additions or revisions to the information and approvals for this specific aircraft will be contained in the sub tables.

9.7 RELATIONSHIPS OF THE AIRCRAFT DATABASE TABLES

A. The primary table in the AIRCRAFT database is called the "Aircraft Primary Record" table.



B. The radial buttons located below the Aircraft Owner field are provided here to provide quick information to the Aircraft Primary Record VIEW page.

- They are defaulted to 'No."
- The instructions for their completion will be provided in the discussion of the Aircraft sub table that is applicable.

C. Those fields that appear on the "Aircraft Primary Record" entry form as boxes with the number "0" followed by the word "Add" provide the ability to add or view information in the sub tables to this specific aircraft.

D. All of these sub tables are linked to the AIRCRAFT Primary Record by the aircraft serial number entered in the field on the Primary Record entry form.

E. The aircraft serial number (and the aircraft MMS) are auto-filled into the sub tables by the database.

When one of these sub tables is selected, the serial number will be defaulted (auto-filled) to the serial number field that appears in the sub table.

It is very important that the user complete the required (red labeled) fields on the Primary Record entry form BEFORE proceeding to any of the sub tables. Failure to follow this protocol may result in SAVE errors or compromised data.

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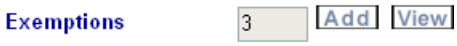
F. When a record is entered in one of the sub tables, the number in the box will change to reflect the current number of sub table records linked to the AIRCRAFT Primary Record.



G. This database will allow the user to make unlimited multiple records in each of the sub tables

- Remember that the sub-table records counter does not indicate that any of these records are active.
- In the above example, the number 3 only indicates that there are or have been 3 exemptions issued.
- The "current" radial buttons on the Aircraft Primary Record page should be used to indicate "currency" at a glance.

H. The purpose of the replicated fields on the AIRCRAFT Primary Record and the sub tables is to provide for SEPARATE viewing, sorting, searching and reporting of the data in the sub tables.

This separate, but linked, relationship between the AIRCRAFT Primary Record and sub tables provides two key capabilities–

- A powerful historical archiving system, and
- The ability to easily sort and search common information without involving long tables.

9.8 COMMON FIELDS IN THE AIRCRAFT SUB-TABLES

A. The purpose of this section is to outline the fields that will be common to all of the Aircraft sub-tables.

The subsequent discussions of each of the Aircraft sub tables will not address those fields that are included in this section.

B. The common fields are—

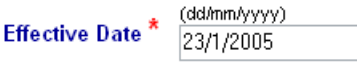
- **Aircraft Serial Number.** This field is defaulted to auto-fill from the Aircraft Primary Record data entry form. This number is unique to the specific aircraft. It is the method used to connect all aircraft database records for all subsequent archival, viewing, searching, editing and reporting functions.

- **Aircraft MMS**. The entry in this field is defaulted to auto-fill from the Aircraft Primary Record data entry form. The auto-fill feature ensures that entry errors are not made in the sub tables.

- **Aircraft Registration Number**. If the user will always enter new data from an updated Primary Record page, this field will auto-fill into all of the sub tables. Registration numbers assigned to aircraft are subject to change. As a result, the creators of the database made it possible to change the registration number on the Primary Record page which would then change only the new records. It will not change registration number in the previous records.

- **Active?** This entry in this field is defaulted to show the record as "active." It provides the flexibility to identify easily those records that are still considered "active" by the CAA personnel. It is used by the database to provide for selective viewing and reporting of records. This field is the key to the ease of archival of the database records. In most cases, the deactivation is accomplished by simply clicking on the "No" radial button.

- **Effective Date**. This field is defaulted to auto-fill the date the record is entered into the database. It should be revised by the user if the actual effective date was prior to, or will occur, at some future date.



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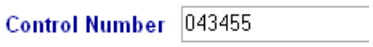
- **Control Number.** This field (when used) is provided to record the actual number of the CAA Action record where the inspector's technical decision to approve, accept or authorize the document or procedure for use in aviation is located. It is intended to provide a method for researching the verifying basis for the record.



9.9 ENTERING THE TYPE CERTIFICATE INFORMATION

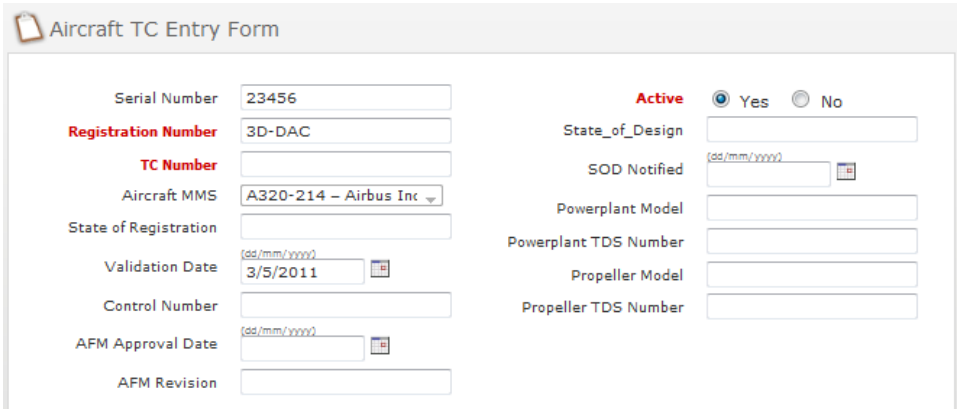
A. The TYPE CERTIFICATE information should be provided by either the Owner or the Lessee.

B. This information should be confirmed by the CAA before it is inserted in the database.

1) From the Aircraft Primary Record page for the specific aircraft serial number, select the ADD button to the right of the label "TYPE CERTIFICATE."

2) That selection will display the "Aircraft TC Entry Form." Three fields should auto-fill—

- ♦ Serial Number (auto-filled with the serial number from the AIRCRAFT Primary Record)
- ♦ Registration Number (auto-filled with the current registration number showing in the AIRCRAFT Primary Record)
- ♦ Effective Date (defaulted to current date)
- ♦ Active?=Yes



3) The user has the following additional fields to complete to save the record—

- ♦ Type Certificate (TC) Number
- ♦ Modify the validation date of the TC by the CAA (if other than the current date)
- ♦ All other information on the form should be completed as required by the CAA.

- Recommended protocol is for the user to enter all information asap rather than leave blanks for later completion.
- The CAA should publish the proper protocol for entering TC information in the database to ensure consistent data.

4) Select the ***Save & Attach*** which will ensure that the sub-table record is attached to the Primary Record."

5) Then check the Aircraft Primary Record Page to ensure that—

- ♦ Type Certificate's sub-table counter shows a record was entered.

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6) Then consider generating an Aircraft Comprehensive report - showing the new information - for the CAA's hard copy files.

Aircraft Type Certificate

Active?	TC#	Validation Date	AFM Date	Revision#
Yes	USA-TC-346678	29/07/2004	03/03/1961	26

9.10 ENTERING THE SUPPLEMENTAL TYPE CERTIFICATE INFORMATION

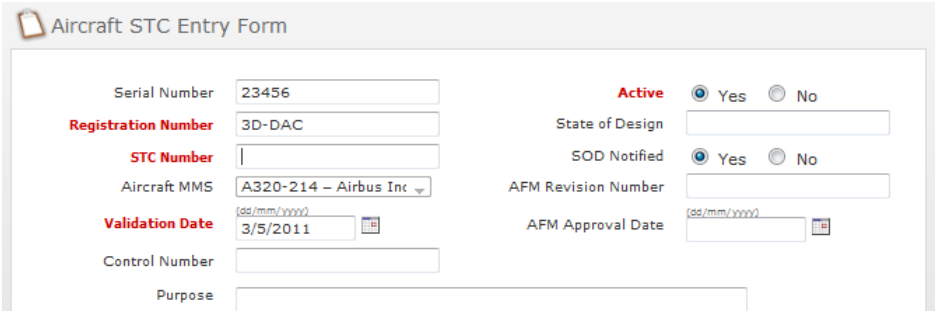
A. The SUPPLEMENTAL TYPE CERTIFICATE information should be provided by either the Owner or the Lessee.

B. This information should be confirmed by the CAA before it is inserted in the database.

1) From the Aircraft Primary Record page for the specific aircraft serial number, select the ADD button to the right of the label "Supplemental TC".

2) That selection will display the "Aircraft STC Entry Form." Three fields should auto-fill—

- Serial Number (auto-filled with the serial number from the AIRCRAFT Primary Record)
- Registration Number (auto-filled with the current registration number showing in the AIRCRAFT Primary Record)
- Effective Date (defaulted to current date)
- Active?=Yes



3) The user has the following additional fields to complete to save the record—

- Supplemental Type Certificate (TC) Number
- Modify the validation date of acceptance by the CAA (if other than the current date)
- All other information on the form should be completed as required by the CAA.

- Recommended protocol is for the user to enter all information asap rather than leave blanks for later completion.
- The CAA should publish the proper protocol for entering STC information in the database to ensure consistent data.

4) Select the ***Save & Attach*** which will ensure that the sub-table record is attached to the Primary Record."

5) Then check the Aircraft Primary Record Page to ensure that—

- Supplemental Type Certificate's sub-table counter shows a record was entered.

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6) If the aircraft are active STCs, be sure to update the radial button for "STCs."

7) Then consider generating an Aircraft Comprehensive report - showing the new information - for the CAA's hard copy files.

Aircraft STC

Active?	STC	Validation Date	AFM Date	Revision#
Yes	USA-STC-200056	29/07/2004	00/00/0000	15

9.11 ENTERING THE EXEMPTIONS INFORMATION

A. If the Owner or Lessee desires to operate this aircraft under an EXEMPTION to one or more regulatory requirements, they must make that request by the formal method published by the CAA.

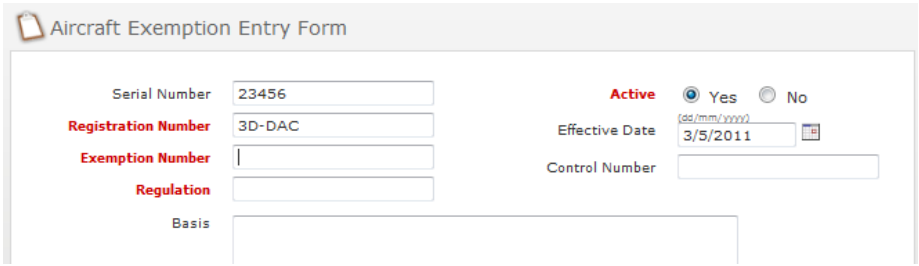
B. The CAA will complete the formal process to determine whether any EXEMPTIONS will be allowed.

C. If the CAA issues such an exemption, the information associated with that exemption will be entered into the database.

1) From the Aircraft Primary Record page for the specific aircraft serial number, select the ADD button to the right of the label "EXEMPTIONS"

2) That selection will display the "Aircraft Exemption Entry Form." Four fields should auto-fill—

- Serial Number (auto-filled with the serial number from the AIRCRAFT Primary Record)
- Registration Number (auto-filled with the current registration number showing in the AIRCRAFT Primary Record)
- Effective Date (defaulted to current date)
- Active?=Yes



3) The user has the following additional fields to complete to save the record—

- Exemption Number
- Regulation
- Modify the effective date of the exemption (if other than the current date)

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- ♦ All other information on the form should be completed as required by the CAA.

- Recommended protocol is for the user to enter all information asap rather than leave blanks for later completion.
- The CAA should publish the proper protocol for entering Exemption information in the database to ensure consistent data.

4) Select the ***Save & Attach*** which will ensure that the sub-table record is attached to the Primary Record."

5) Then check the Aircraft Primary Record Page to ensure that—

- ♦ Exemptions' sub table counter shows a record was entered.

6) If the aircraft are active Exemptions, be sure to update the radial button for "Current Exemptions."

7) Then consider generating an Aircraft Comprehensive report - showing the new information - for the CAA's hard copy files.

Aircraft Exemption Info

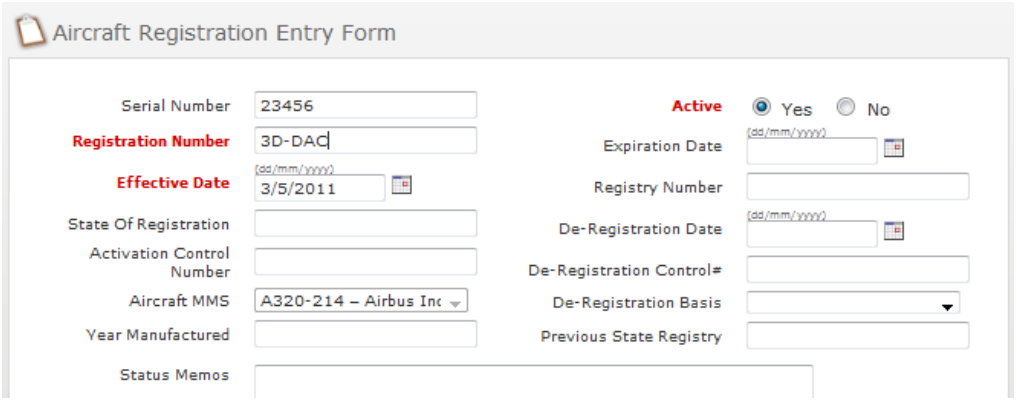
Active?	Exemption#	Regulation#	Issue Date	Terms of Approval
Yes	043416	8.165	28/07/2004	THIS AIRCRAFT WILL ONLY BE FLOWN IN BAHAMIAN AIRSPACE. THERE ARE NOT YET PROVISIONS FOR STAGE III ACAS IN THE ATC FACILITIES.
Yes	043417	8.345(a)(1)	28/07/2004	THE PASSENGER CARRYING CONFIGURATION IS ONLY 10 PASSENGERS. ONE FLIGHT ATTENDANT WILL BE SATISFACTORY CONSIDERING THE TAKEOFF AND LANDING LOCATIONS OF THE PASSENGERS.

9.12 ENTERING THE REGISTRATION NUMBER INFO

A. The Registration Number sub-table would be the most logical place to begin the process of registration and certification for an aircraft. Aircraft owners may want to reserve a registration number prior to purchasing their aircraft.

1) From the Aircraft Primary Record page for the specific aircraft serial number, select the ADD button to the right of the label "Registration Info.

2) That selection will display the "Aircraft Registration Data Entry Form." Four fields should auto-fill—



- ♦ Serial Number (auto-filled with the serial number from the AIRCRAFT Primary Record)
- ♦ Registration Number (auto-filled with the current registration number showing in the AIRCRAFT Primary Record)

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- Effective Date (defaulted to current date)
- Aircraft MMS
- Active?=Yes

3) The user should make at least two entries—

- Modify the effective date (if other than the current date)
- Activation control number

> - The registration number must be consistent within the aircraft table and sub table. If capitalization or a dash is used, it must always be used - otherwise the search capability for the number is compromised.
> - The "Status Memos" is a field which allows the user to make informational notes that are retained in the database.

4) The following other fields should be considered—

- State of Registration (especially if the CAA is a regional organization)
- Year manufactured (some States would like for this to appear on the CofR)
- Expiration date (if the CofR expiring)
- Registry number (This field provided for States that track the registry with a different number)
- Previous State registry

5) The following fields should be completed when the aircraft is de-registered.

- De-Registration Date
- De-Registration Control Number
- De-Registration Basis (Drop-down menu of choices)

6) Select the ***Save & Attach*** which will ensure that the sub-table record is attached to the Primary Record."

7) This action will bring the user back to the Aircraft Primary Record page.

8) Notice that the Registration Info counter indicates that there is one registration record attached to this aircraft serial number and the View button is available.

9) Be sure to update the radial button for "Current Registration." The purpose of this button is to provide the current information to the VIEW Page for Aircraft Primary Record without the user having to actually go to the registration sub-table.

B. As the user is getting familiar with the database, they should take the time to generate the Aircraft Comprehensive Report,

9.13 ENTERING THE AIRWORTHINESS CERTIFICATE INFORMATION

A. The next step in the process is to issue a Certificate of Airworthiness for the aircraft.

B. The following information should be entered into the database.

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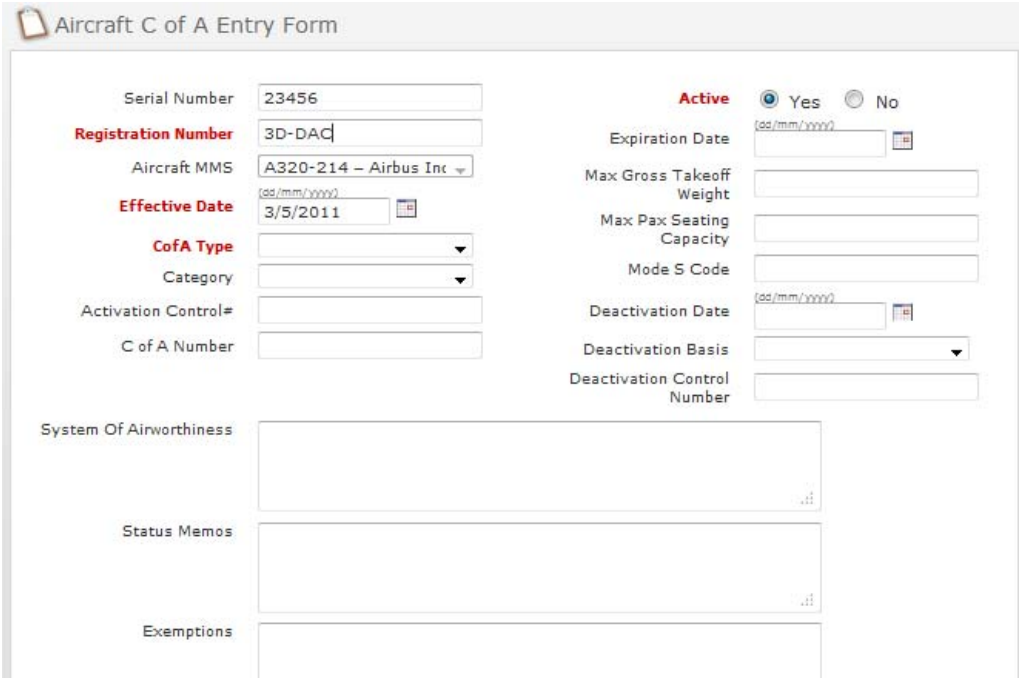
1) From the Aircraft Primary Record page for the specific aircraft serial number, select the ADD button to the right of the label "Airworthiness Certificate"

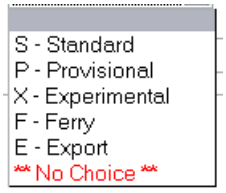
2) That selection will display the "Aircraft Exemption Entry Form." Four fields should auto-fill—

- Serial Number (auto-filled with the serial number from the AIRCRAFT Primary Record)
- Registration Number (auto-filled with the current registration number showing in the AIRCRAFT Primary Record)
- Effective Date (defaulted to current date)
- Active?=Yes



3) The user has the following additional fields to complete to save the record—

- CofA Type



- Modify the effective date of the Certificate of Airworthiness (if other than the current date)
- All other information on the form should be completed as required by the CAA.

- Recommended protocol is for the user to enter all information asap rather than leave blanks for later completion.
- The CAA should publish the proper protocol for entering Airworthiness Certificate information in the database to ensure consistent data.

4) Select the ***Save & Attach*** which will ensure that the sub-table record is attached to the Primary Record."

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5) Then check the Aircraft Primary Record Page to ensure that—

- Airworthiness Certificate' sub table counter shows a record was entered.

6) Be sure to update the radial button for "Current CofA." The purpose of this button is to provide the current information to the VIEW Page for Aircraft Primary Record without the user having to actually go to the CofA sub tables.

7) Then consider generating an Aircraft Comprehensive report - showing the new information - for the CAA's hard copy files.

Aircraft Airworthiness Certificate

Active?	Registration#	Issue Date	Basis	Expiration Date
Yes	C7-BZL	29/06/2004	S	30/06/2005

9.14 ENTERING THE CAA APPROVALS FOR THIS AIRCRAFT

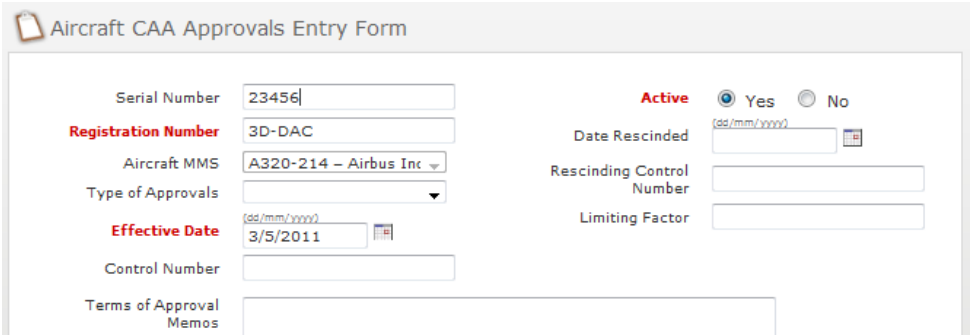
A. The next step in the process is to issue a Certificate of Airworthiness for the aircraft.

B. The following information should be entered into the database:

1) From the Aircraft Primary Record page for the specific aircraft serial number, select the ADD button to the right of the label "CAA APPROVALS"

2) That selection will display the "Aircraft Exemption Entry Form." Four fields should auto-fill—

- Serial Number (auto-filled with the serial number from the AIRCRAFT Primary Record)
- Registration Number (auto-filled with the current registration number showing in the AIRCRAFT Primary Record)
- Effective Date (defaulted to current date)
- Active?=Yes



3) The user has the following additional fields to complete to save the record—

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- Type of Approval

- Modify the effective date of the approval (if other than the current date)
- All other information on the form should be completed as required by the CAA.

> - Recommended protocol is for the user to enter all information asap rather than leave blanks for later completion.
> - The CAA should publish the proper protocol for entering Airworthiness Certificate information in the database to ensure consistent data.

4) Select the ***Save & Attach*** which will ensure that the sub-table record is attached to the Primary Record."

5) Then check the Aircraft Primary Record Page to ensure that—

- CAA Approvals' sub table counter shows a new record was entered.

6) Then consider generating an Aircraft Comprehensive report - showing the new information - for the CAA's hard copy files.

Aircraft CAA Approvals

Active?	Type of Approval	Apprv Date	Terms of Approval
Yes	Instrument Flight Rules	29/06/2004	
Yes	Approved Passengers	29/06/2004	
Yes	Approved Payload	29/06/2004	
Yes	AOC Operations	29/06/2004	

9.15 ENTERING THE OWNER INFORMATION

A. The OWNER information will also be included in the database.

1) From the Aircraft Primary Record page for the specific aircraft serial number, select the ADD button to the right of the label "Owner."

2) That selection will display the "Aircraft Owner Entry Form." Three fields should auto-fill—

- Serial Number (auto-filled with the serial number from the AIRCRAFT Primary Record)

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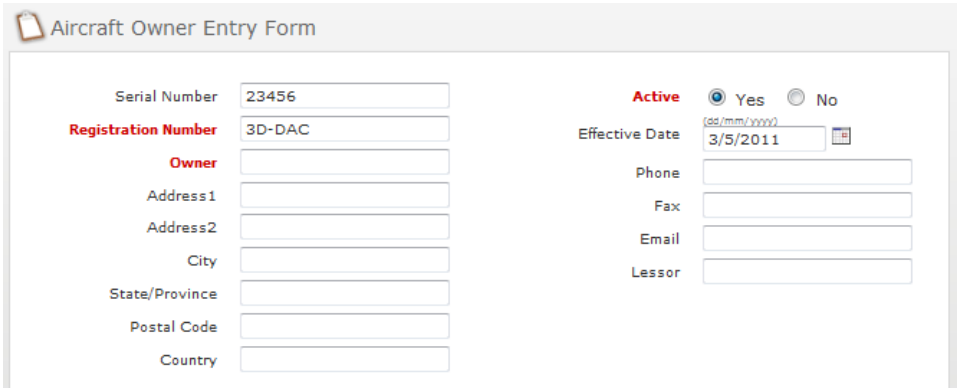
- Registration Number (auto-filled with the current registration number showing in the AIRCRAFT Primary Record)
- Effective Date (defaulted to current date)
- Active?=Yes



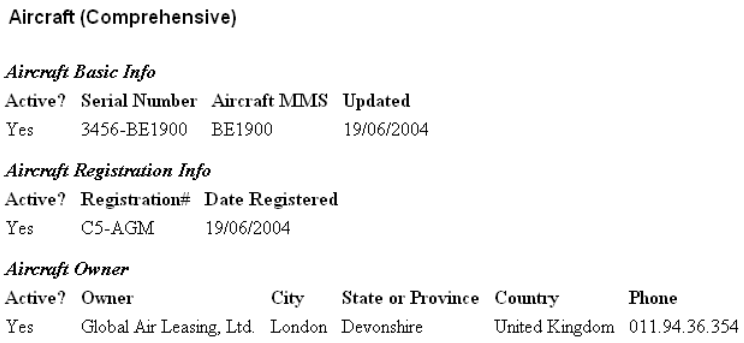
3) The user has two additional fields to complete to save the record—
   - Owner's Name
   - Possibly modify the effective date (if other than the current date)

- Recommended protocol is for the user to enter all information asap rather than leave blanks for later completion.
- The CAA should publish the proper protocol for entering addresses and phone numbers in the database to ensure consistent data.
- Address 2, State and Postal Code fields may be left blank.

4) Select the ***Save & Attach*** which will ensure that the sub-table record is attached to the Primary Record."

5) Then check to ensure that the Aircraft Primary Record Page—
   - Owner field contains the owner name just entered in the sub-table
   - Owner sub-table counter shows a record was entered

6) Then consider generating an Aircraft Comprehensive report showing the new information - for the CAA's hard copy files.



Aircraft (Comprehensive)

Aircraft Basic Info

Active?	Serial Number	Aircraft MMS	Updated
Yes	3456-BE1900	BE1900	19/06/2004

Aircraft Registration Info

Active?	Registration#	Date Registered
Yes	C5-AGM	19/06/2004

Aircraft Owner

Active?	Owner	City	State or Province	Country	Phone
Yes	Global Air Leasing, Ltd.	London	Devonshire	United Kingdom	011.94.36.354

9.16 ENTERING THE LESSEE INFORMATION

A. If there is to be a LEESEE, that information should also be included in the database.

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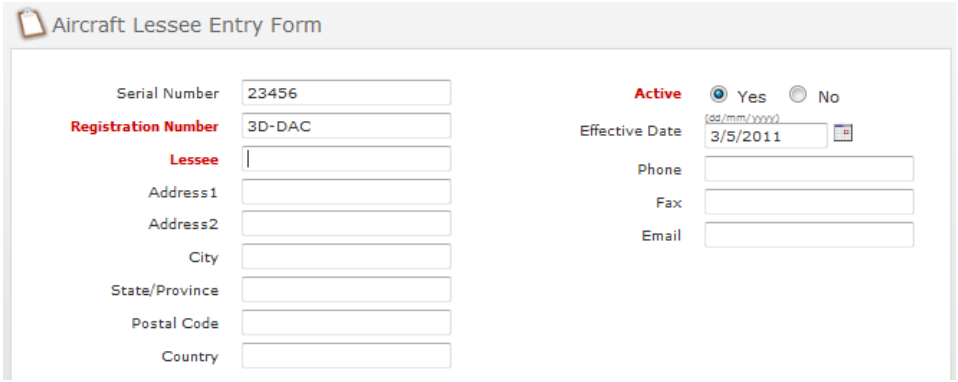
1) From the Aircraft Primary Record page for the specific aircraft serial number, select the ADD button to the right of the label "Lessee."

2) That selection will display the "Aircraft Owner Entry Form." Three fields should auto-fill—

- Serial Number (auto-filled with the serial number from the AIRCRAFT Primary Record)
- Registration Number (auto-filled with the current registration number showing in the AIRCRAFT Primary Record)
- Effective Date (defaulted to current date)
- Active?=Yes



3) The user has two additional fields to complete to save the record—

- Owner's Name, and
- Modify the effective date (if other than the current date)

- Recommended protocol is for the user to enter all information asap rather than leave blanks for later completion.
- The CAA should publish the proper protocol for entering addresses and phone numbers in the database to ensure consistent data.
- Address 2, State and Postal Code fields may be left blank.

4) Select the ***Save & Attach*** which will ensure that the sub-table record is attached to the Primary Record."

5) Then check the Aircraft Primary Record Page to ensure that—

- Lessee sub table counter shows a record was entered.

6) Be sure to update the radial button for "Currently Leased." The purpose of this button is to provide the current information to the VIEW Page for Aircraft Primary Record without the user having to actually go to the CofA sub tables.

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7) Then consider generating an Aircraft Comprehensive report - showing the new information - for the CAA's hard copy files.

Aircraft Lessee

Active?	Lessee	City	State or Province	Country	Phone
Yes	Skylink Airways	Miami	Florida	United States	305.354.2341

9.17 ENTERING THE INSURER INFORMATION

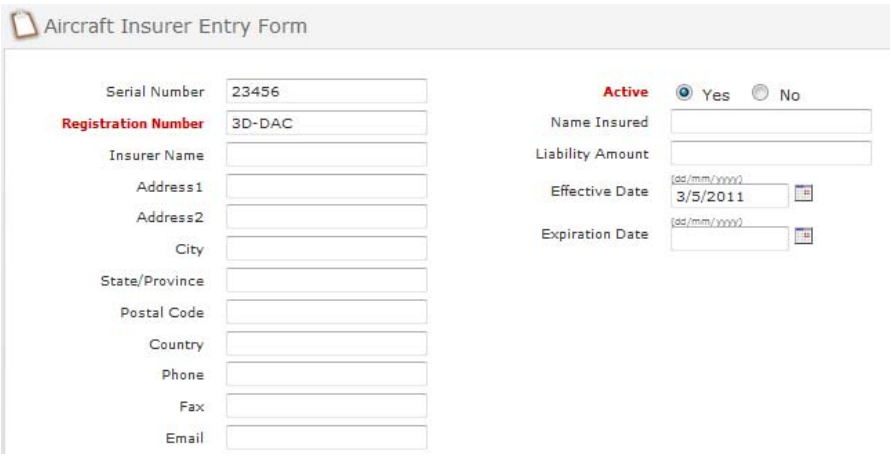
A. The INSURER information should be provided by either the Owner or the Lessee.

B. This information should be confirmed by the CAA before it is inserted in the database.

1) From the Aircraft Primary Record page for the specific aircraft serial number, select the ADD button to the right of the label "Insurer"

2) That selection will display the "Aircraft Insurer Entry Form." Three fields should auto-fill—

- Serial Number (auto-filled with the serial number from the AIRCRAFT Primary Record)
- Registration Number (auto-filled with the current registration number showing in the AIRCRAFT Primary Record)
- Effective Date (defaulted to current date)
- Active?=Yes



3) The user has the following additional fields to complete to save the record—

- Insurer's Name
- Modify the effective date of the insurance (if other than the current date)
- All other information on the form should be completed as required by the CAA.

- Recommended protocol is for the user to enter all information asap rather than leave blanks for later completion.
- The CAA should publish the proper protocol for entering addresses and phone numbers in the database to ensure consistent data.
- Address 2, State and Postal Code fields may be left blank.

4) Select the ***Save & Attach*** which will ensure that the sub-table record is attached to the Primary Record."

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5) Then check the Aircraft Primary Record Page to ensure that—

- Insurer's sub-table counter shows a record was entered.

6) If the aircraft is currently insured, be sure to update the radial button for "Current Insurance." The purpose of this button is to provide the current information to the VIEW Page for Aircraft Primary Record without the user having to actually go to the registration sub-table.

7) Consider generating an Aircraft Comprehensive report - showing the new information - for the CAA's hard copy files.

Aircraft (Comprehensive)

Aircraft Basic Info

Active?	Serial Number	Aircraft MMS	Updated
Yes	3456-BE1900	BE1900	19/06/2004

Aircraft Registration Info

Active?	Registration#	Date Registered
Yes	C5-AGM	19/06/2004

Aircraft Owner

Active?	Owner	City	State or Province	Country	Phone
Yes	Global Air Leasing, Ltd.	London	Devonshire	United Kingdom	011.94.36.354

9.18 ENTERING THE EQUIPMENT REVIEW INFORMATION

A. When initially issuing a Certificate of Airworthiness to the aircraft, the CAA should collect information regarding the airframe, engine and specific avionics equipment that is installed.

> The CAA should consider collecting information about the aircraft, especially the airframe and engine hours, on a routine basis.

1) From the Aircraft Primary Record page for the specific aircraft serial number, select the ADD button to the right of the label "Equipment Review".

2) That selection will display the "Aircraft Equipment Review Entry Form." Four fields should should auto-fill—

- Serial Number (auto-filled with the serial number from the AIRCRAFT Primary Record)
- Registration Number (auto-filled with the current registration number showing in the AIRCRAFT Primary Record)
- Date of Review (defaulted to current date)

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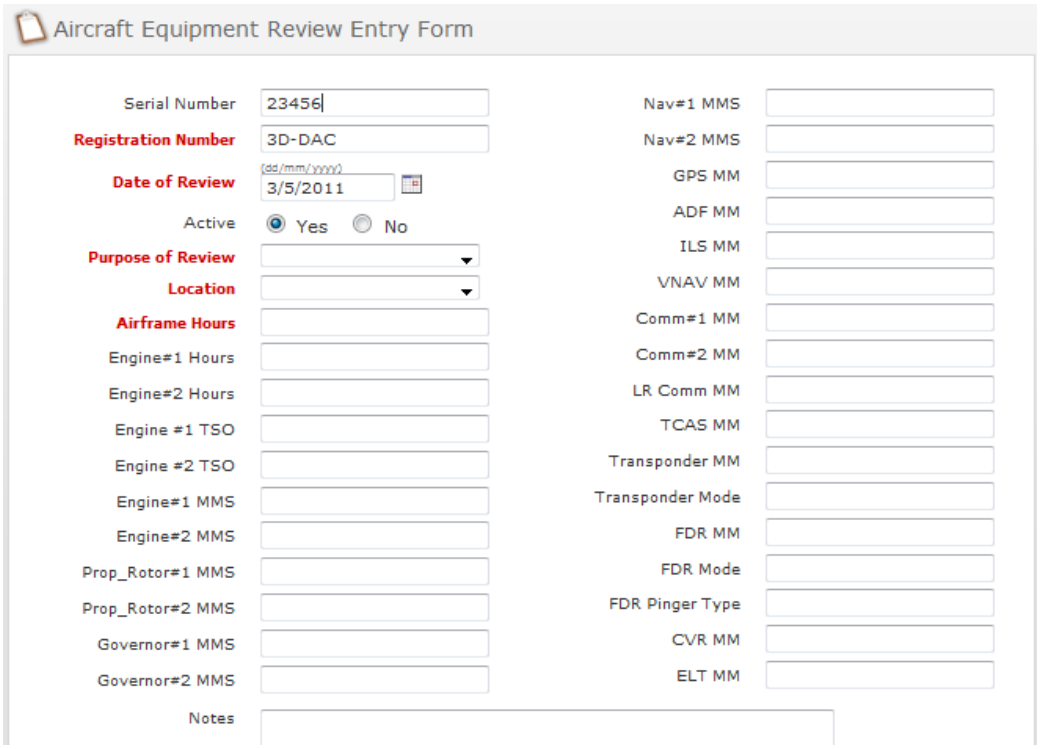
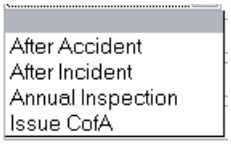
- Active?=Yes



3) The user has the following additional fields to complete to save the record—

- Purpose of Review (select from the drop-down menu)



- Location (select from the drop-down menu)
- Airframe Hours (it is acceptable to use periods to separate tenths or hundreds of hours - do not use commas)

KBHM - Birmingham International
KATL - Atlanta-Hartsfield International
KCHA - Chattanooga
KMIA - Miami International
** Browse for More **

- Modify the date field (if other than the current date)
- All other information on the form should be completed as required by the CAA.

- Recommended protocol is for the user to enter all information asap rather than leave blanks for later completion.
- The CAA should publish the proper protocol for entering Equipment Review information in the database to ensure consistent data.

4) Select the ***Save & Attach*** which will ensure that the sub-table record is attached to the Primary Record."

5) Then check the Aircraft Primary Record Page to ensure that—

- Equipment Review's sub table counter shows a record was entered.

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6) Then consider generating an Aircraft Comprehensive report - showing the new information - for the CAA's hard copy files.

Aircraft (Comprehensive)

Aircraft Basic Info

Active?	Serial Number	Aircraft MMS	Updated
Yes	3456-BE1900	BE1900	19/06/2004

Aircraft Registration Info

Active?	Registration#	Date Registered
Yes	C5-AGM	19/06/2004

Aircraft Owner

Active?	Owner	City	State or Province	Country	Phone
Yes	Global Air Leasing, Ltd.	London	Devonshire	United Kingdom	011.94.36.354

End of Chapter

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Chapter 10
Personnel Licensing Approvals & Data Collection

A. The CASORT Suite of databases contains two primary methods to collect and track information about specific PEL licenses that are issued under the safety oversight of the CAA.

B. **CAA Action** database which records the specific license number of the PIC or other crew member associated with an inspector work activity;

- This allows searching of the CAA Action records through the use of the View, search and standard report capabilities of the program.

C. **Personnel Licensing** database which records the detailed information regarding a particular license number in the special Personnel Licensing tables provided with CASORT database.

- This allows *much more detailed* viewing, searching and reporting capability specific to a specific PEL license number than could be accomplished through the CAA Action database.

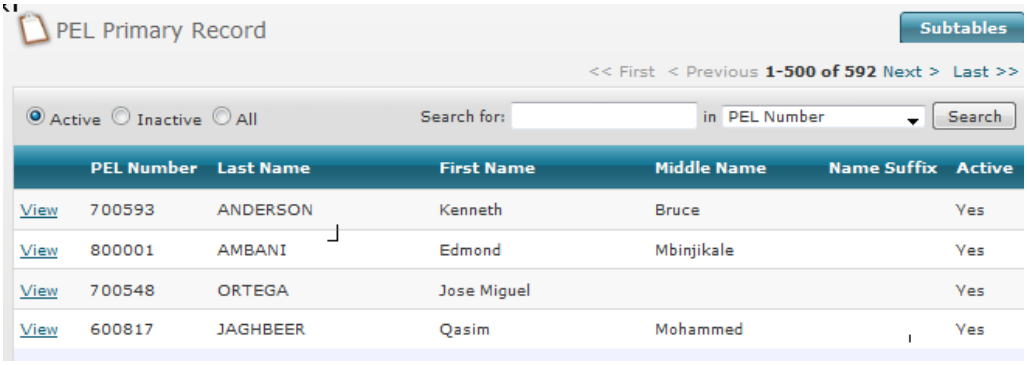
10.1 ACCESSING A CURRENT PEL LICENSE HOLDER'S RECORD

To access a current PEL License record from the Home Page, move to the bottom right group of links (under the tab labeled Personnel Licensing and

1) Select the***View*** button on the Personnel Licensing bar;

2) That action will display the listing of all PEL License records in the database;

- ♦ Remember that the list is defaulted to display the last record entered at the top of the list.
- ♦ Remember that you can adjust this list by clicking on the header labels to make the list ascending or descending for that column.;



	PEL Number	Last Name	First Name	Middle Name	Name Suffix	Active
View	700593	ANDERSON	Kenneth	Bruce		Yes
View	800001	AMBANI	Edmond	Mbinjikale		Yes
View	700548	ORTEGA	Jose Miguel			Yes
View	600817	JAGHBEER	Qasim	Mohammed		Yes

3) From the list, select the PEL record that you would like to access by clicking on ***View*** (in the far left column);

- ♦ It will normally be necessary to search the license number or last name of licensee.

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4) That action will display the View screen for the related record;

5) The user may now take the following actions —

- To add new information to the PEL License Record – select ***Edit*** – which will open the Primary record to enter new data in the Primary Record or its sub-tables.

Choose this action to add new sub-table information.

- To revise existing data to this – by placing the cursor on the ***underlined number*** to right of the appropriate sub-table and selecting that number.

Choose this action to edit sub-tables.

- Select ***View PEL License Comprehensive Report*** – which will auto-fill this record number in preparation for extracting this report.
- Selecting ***Back*** or ***Done*** will return the user to the listing of PEL License holders in the database.

10.2 PRINTING THE COMPREHENSIVE REPORT

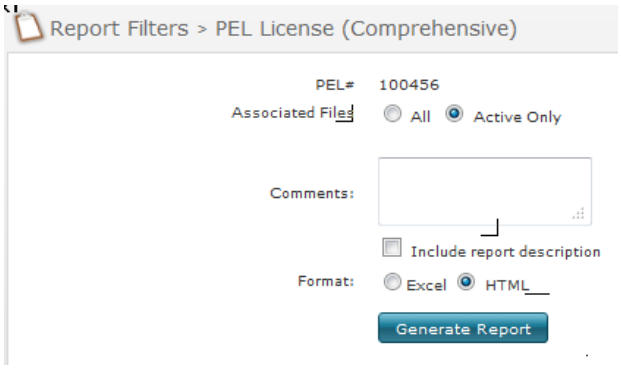
If the user would like to print a comprehensive report of this PEL License's record, he should —

1) From the bottom of the View page of the record for the individual PEL license holder, select ***View PEL License Comprehensive Report***;

View PEL License (Comprehensive) Report

2) That action will display the report filter page auto-filled with this record's PEL License number;

- Note the record is defaulted to "Active Only," which would be the normal report select.



3) If the user purpose is to view the report, select ***Generate Report***;

- The remainder of the possible selections on the view page are intended for preparation of formal reports.

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4) That action will display the comprehensive report in a separate web page

PEL License (Comprehensive)

PEL Primary Record

Active?	LastName	FirstName	B-Date	Nationality	Sex	Height	Weight	Hair
Yes	Guyabera	Eclides	13/07/1977	Ghana	M	3.3	124	Black

PEL Licensee Contact Info

Active?	City	Country	Address1	Phone	Email
Yes	Accura	Ghana	12 Fish Lane		

PEL Licenses

Active?	Cat Class Type
Yes	Aeroplane Single & Multi Engine Land,B777; Rotorcraft-Helicopter.

1312x549

PEL Medical Cert

Active?	MedClass	I-Date	Medical Limitations
Yes	1	18/07/2010	Holder must wear glasses for near vision.
Yes	2	12/07/2010	

PEL Designee

Active?	Designation Type	D-Date	OrgID	Limitations
Yes	DFEE	12/07/2010		(1)Limited to flight engineers employed by Mercy Airlines; and (2)Designee shall be current and qualified as a flight engineer for DC-8 aircraft when adm checks; and (3)Designee shall give GCAA 24-hour notice of intent to give a skill test or proficiency check under this authority.
Yes	DPE	16/12/2009		(1)Limited to skill tests and proficiency checks of Ghana Airlines flight crews; and (2)Designee shall be current and qualified in B777 aircraft when exerci authority; and (3)Designee shall give GCAA 24-hour notice of intent to conduct a test or check under this authority.

5) If a revision was made to the database record, print this current information and insert in hard-copy file for this PEL License holder.

- Discard the superceded hard-copy of the report from the PEL License holder's file.
- The HTML report will be adequate for on-going updating of the hard-copy file.
- Consider constructing an Excel report for formal presentation to international auditors.

10.3 ADDING DATA TO AN EXISTING PEL LICENSE RECORD

To add data to an existing PEL License record —

1) From the Home Page, select ***View PEL Primary Records***;

2) That action will display the listing of all PEL records; select the ***View*** for the specific record to access;

3) That action will display the View Page for the specific record, now select ***Edit***;

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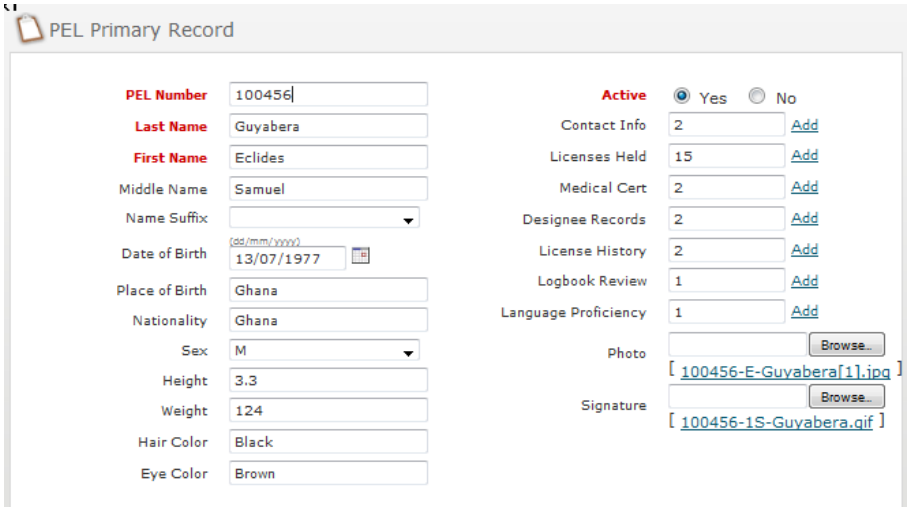
4) That action will display the record for the selected PEL Number in the PEL Entry form mode.



5) The user may now *edit* the Primary Record or *add* new information to the sub-tables by selecting the ***ADD*** button to the right of the appropriate sub-table label.

> Do not use the View buttons to the right of the sub-table to edit existing records. There is a problem with this feature.

6) This action will display the selected sub-table data entry form.

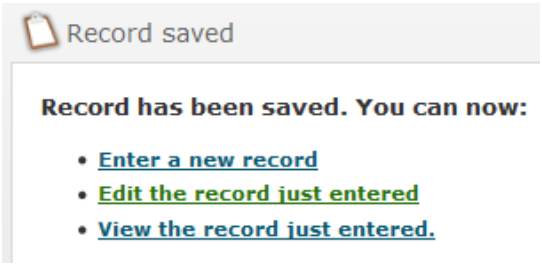
7) Complete that form in accordance with the guidance that is contained later in this chapter.

8) ***Save and Attach*** to the PEL Primary record;

9) Select ***GO***.

10) This action will display the "Record Saved" links

- The user will choose ***Edit the record just entered*** if more information is to be added to this PEL record,
- The user will choose ***View the record just entered*** to edit any of the information in the sub-tables to this record.
- The user should move the cursor to select the ***Home*** tab if all work is completed on this particular record.


Record saved
Record has been saved. You can now:
Enter a new record
Edit the record just entered
View the record just entered.

10.4 ENTERING A NEW PEL LICENSE HOLDER/NUMBER

Entering a new PEL license holder into the PERSONNEL LICENSING database is very simple.

1) Select the ***Enter*** button on the Personnel Licensing bar;

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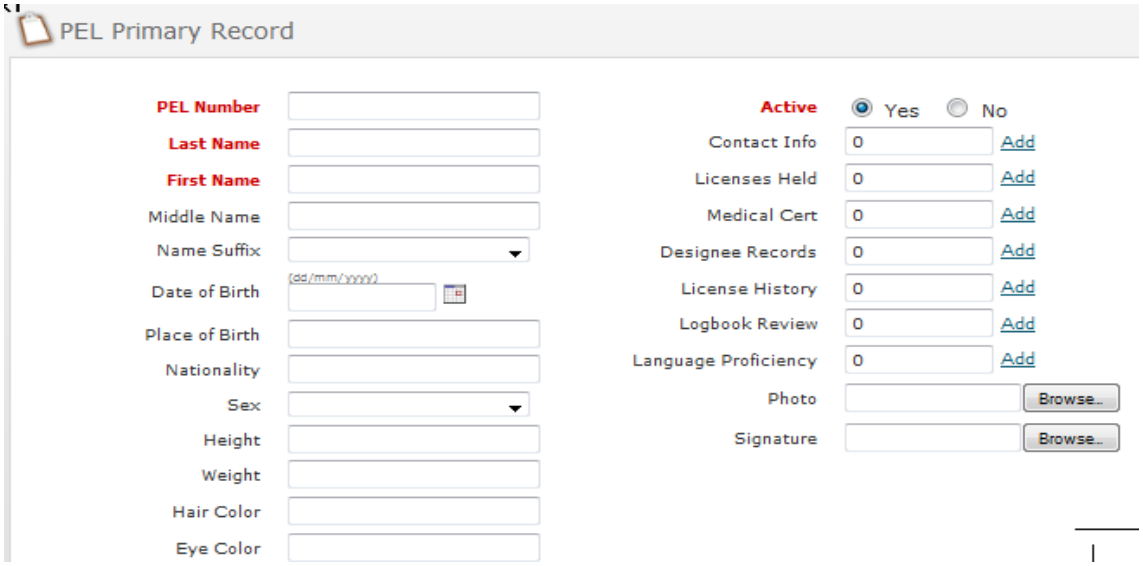
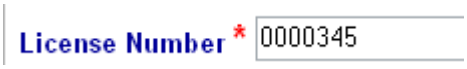
2) This will bring up the *PEL Primary Record*. There are no noticeable default fields (other than the Yes/No "Active" buttons).



3) The user should now ensure that there is an entry in the 4 required (red label) fields before taking any other action relative to this database.

The creators of this database strongly recommend that the user make the following entries shown in this procedure before making any other entries in this database.

4) Enter the license number that is to be assigned to this PEL license holder in this free-form 26 character field. To allow for future expansion, the license number should contain a minimum of 7 characters.



- The license number is the methodology by which the database connects all future records to the PEL license holder.
- It is critical that this number be a specific and unique number that can be searched. CONSULT THE CAA PEL MANUAL FOR PROPER NUMBERING.

5) Enter the last name of the PEL license holder in this free-form 26 character field. The manner of data entry should be consistent.

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6) Enter the first name of the PEL license holder in this free-form 26 character field.

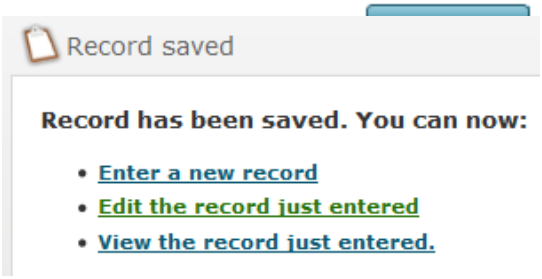
7) The "Active" Yes/No radial button is defaulted to "Yes."

Note that the "Active" Yes/No will default to "Yes" in all of the Personnel Licensing tables and sub-tables.

- Stop entering in this record now and select ***GO***!
- That action will preserve the PEL number for the person you have entered.
- It is possible that another person may be entering a different person or that you will have a power outage or Internet delay.

8) Assuming that the user is satisfied with the data that has been entered, it is now time to select ***GO*** to get the navigation links

9) The user may now return to this primary record to complete the remainder of the entries by selecting ***Edit the record just entered***.


Record saved
Record has been saved. You can now:
Enter a new record
Edit the record just entered
View the record just entered.

- This GO and Edit capability is so easy the user should get in the habit of doing this routinely to minimize the possibility of losing entered data due to a computer glitch.

10.4.1 ERROR MESSAGE: PEL NUMBER ALREADY IN USE

A. If the PEL number that you have selected has already been assigned to a different person, the user will receive the following error message—

PEL Primary Record
The value in the License Number field has already been used by another record. Please choose a different value.
License Number * 000601
Active * Yes No
Last Name * Perkins
Contact Info 0 Add

B. The database will not allow the assignment of a PEL number to more than one person. This number is now unique to a specific person.

C. It will be necessary to assign a different PEL number to this new Primary Record.

The database will also not allow 2 users to work in the same PEL Primary Record at the same time..

10.4.2 COMPLETING THE PRIMARY RECORD

A. After the initial saving of the Primary Record, the user should return to the record to complete the initial edit—

1) Enter the middle name of the PEL license holder in this free-form 26 character field. The user should follow the protocol established by the CAA, but if there is no middle name, the suggested method is to enter the letters NMN. The field should not be left blank.

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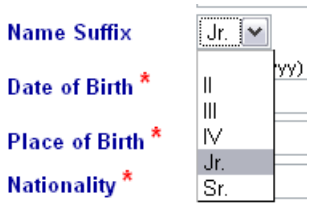
2) If the PEL license holder has a name suffix, use the drop-down menu to add that suffix to the name. The suffixes presently provided in the drop-down list are those for English names. Other suffixes may be added by suggesting the suffix to the database creators.



3) Enter the date of birth of the persons that is assigned this PEL number—

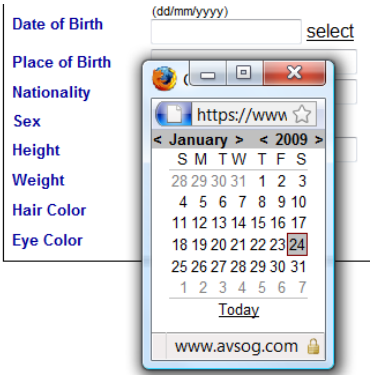
   (a) Use the ***select*** link to open the date calendar;

   (b) Use the small arrows (<>)on either side of the month to change to the correct month;

   (c) Use the small back arrow (<) on the left side of the year to move back to the correct year;

   (d) Select the correct day of the month.

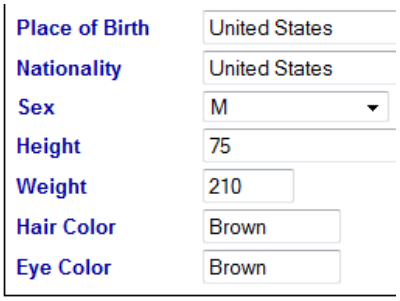
   (e) This action enters the date in the field.



4) Enter the ***Place of Birth*** of this person. Use the generic name of the country, e.g. Angola, Bahamas, Nigeria or Vietnam.

5) Enter the ***Nationality***. Again use the generic name of the country, e.g. Angola, Bahamas, Nigeria or Vietnam.

   - DO NOT USE the local derivative of the name, e.g. Angolan, Bahamian, Nigerian or Vietnamese.
   - This field must be completed in order to print a PEL license form.



6) Enter Sex as Male or Female;

7) Enter Height using the appropriate unit of measurement of the country (inches or kilometers),

8) Enter Weight using the appropriate unit of measurement of the country (pounds or kilograms)

9) Enter Hair Color. (Spell the word)

10) Enter Eye Color. (Spell the word).

- The remainder of the left column of the PEL Primary Record will be taken from the medical evaluation form.
- This information will also be displayed on the medical certificate form that can be printed from the database.

11) Assuming that the user is satisfied with the data that has been entered, it is now time to select ***GO***.

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10.5 COMPLETING & EDITING THE PEL DATABASE

A. Now any user will be able to return to this saved record for the purpose of completing or editing the record.

> The database creators recommend that the "new" entries to the sub-tables be accomplished by entering the PEL Primary Record, then "Add" the new record.

1) Select the ***View*** button on the Personnel Licensing bar;

2) On the VIEW page, the PEL License can be found by—

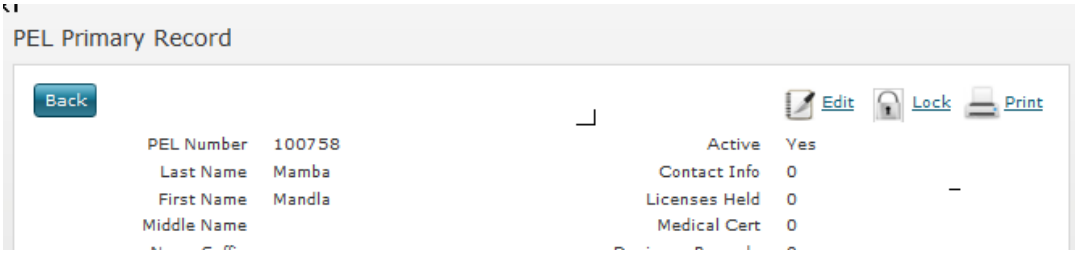
   (a) Sorting the License Number column (click on column title.) and finding the number in the new list;

   (b) Sorting the Last Name column and finding the correct last name, matched with the first name in the list;

> As the CAA database grows, the SEARCH function will rapidly become the best method for finding the specific aircraft record.

3) Using the SEARCH function to "drill-down" to the specific license. In the example provided, the Last Name was searched.

4) Selecting the ***View*** action word located in the left column of the View PEL Listing Page, will display the present contents of the specific PEL Primary Record selected.



5) To access the actual record for the purpose of changing or adding to it, select ***Edit***. This action will access the database record, allowing it to be edited.

B. This indicates that it is no longer possible to change the license number of this record.

- This is also true of the Last Name and First Name fields.

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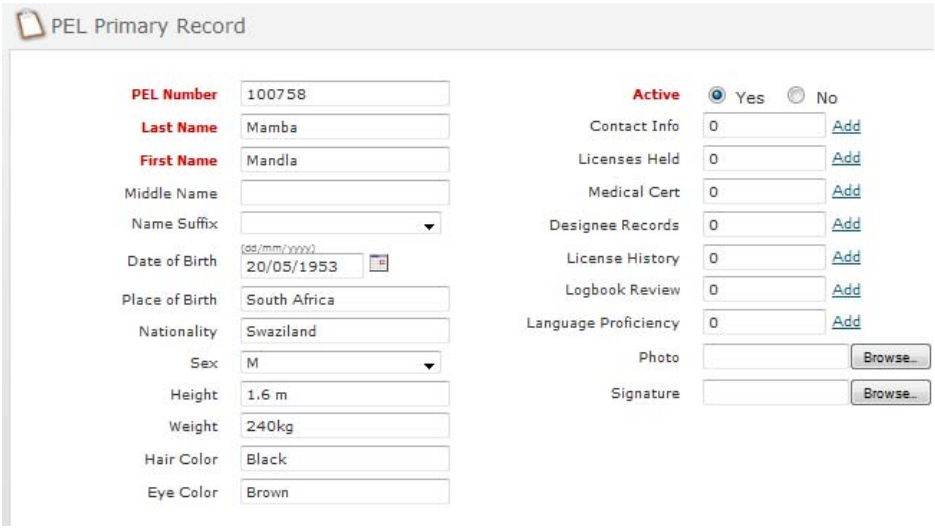
C. The user may now enter or edit any other field on this entry form.

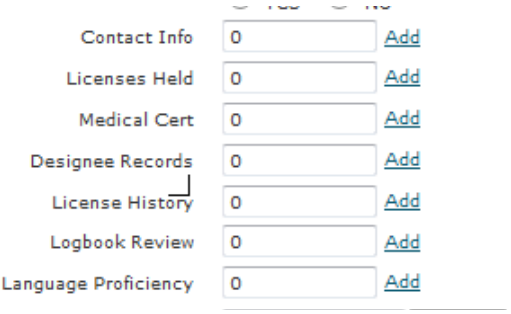


D. All other additions or revisions to the information and approvals for this specific PEL license number will be accomplished in the sub-tables indicated by the ADD buttons. The editing of these sub tables will be discussed in later sections of this chapter.

10.6 RELATIONSHIPS OF THE PERSONNEL LICENSING DATABASE TABLES

A. The primary table in the PERSONNEL LICENSING database is called the "PEL Primary Record" table.

B. Those fields that appear on the "PEL Primary Record Entry Form" with the number "0" followed by the word ***Add*** are sub-tables to the PEL Primary Records.


Contact Info 0 Add
Licenses Held 0 Add
Medical Cert 0 Add
Designee Records 0 Add
License History 0 Add
Logbook Review 0 Add
Language Proficiency 0 Add

C. All of these sub-tables are linked to the PEL Primary Record by the PEL license number entered in the field on the PEL Primary Records entry form.

When one of these sub-tables is selected, the license number will be defaulted (auto-filled) to the license number field that appears in the sub-table.

D. The PEL license number (and last and first name of the license holder) are auto-filled into the sub-table by the database.

It is very important that the user complete the required (red label) fields on the PEL Primary Records entry form BEFORE proceeding to any of the sub-tables. Failure to follow this protocol may result in SAVE errors or compromised data.

E. When a record is entered in one of the sub-tables, the number in the box will change to reflect the current number of sub-table records linked to the PEL Primary Record.

F. This database will allow the user to make unlimited multiple records in each of the sub-tables

> Remember that the sub-table records counter does not indicate that any of these records are active. In the above example, the number 1 only indicates that there is 1 such record in the database.

G. The purpose of the replicated fields on the PEL Primary Record and the sub-tables is to provide for SEPARATE viewing, sorting, searching and reporting of the data in the sub-tables.

> This separate, but linked, relationship between the PEL Primary Record and sub-tables provides two key capabilities–
> - A powerful historical archiving system, and
> - The ability to easily sort and search common information without involving long tables.

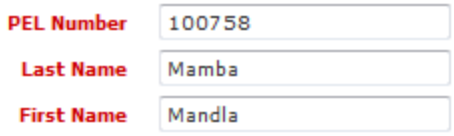
10.7 COMMON FIELDS IN THE PERSONNEL LICENSING SUB TABLES

A. The purpose of this section is to outline the fields that will be common to all of the Personnel Licensing sub-tables.

> The subsequent discussions of each of the Personnel Licensing sub-tables will not address those fields that are included in this section.

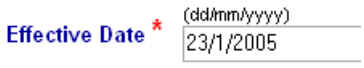
B. The common fields are—

- **PEL License Number.** This field is defaulted to auto-fill from the PEL Primary Records data entry form. This number is unique to the organization. It is the method used to connect all PEL database records for all subsequent archival, viewing, searching, editing and reporting functions.

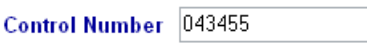


- **Licensee Last Name**. This field is defaulted to auto-fill from the PEL Primary Records data entry form. This field provides viewing and searching references to ensure that the correct sub-table record is being consulted.
- **Licensee First Name**. This field is defaulted to auto-fill from the PEL Primary Records data entry form. This field provides viewing and searching references to ensure that the correct sub-table record is being consulted.
- **Active?** This field is defaulted to show the record as "active." It provides the flexibility to identify easily those records that are still considered "active" by the CAA personnel. It is used by the database to provide for selective viewing and reporting of records. This field is the key to the ease of archival of the database records. In most cases, the deactivation is accomplished by simply clicking on the 'No" radial button.

- **Effective Date**. This field is defaulted to auto-fill the date the record is entered into the database. It should be revised by the user if the actual effective date was prior to, or will occur at some future date.



- **Control Number.** This field (when used) is provided to record the actual number of the CAA Action record where the inspector's technical decision to approve, accept or authorize the document or procedure for use in aviation is located. It is intended to provide a method for researching the verifying basis for the record.



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10.8 ENTERING PEL CONTACT INFORMATION

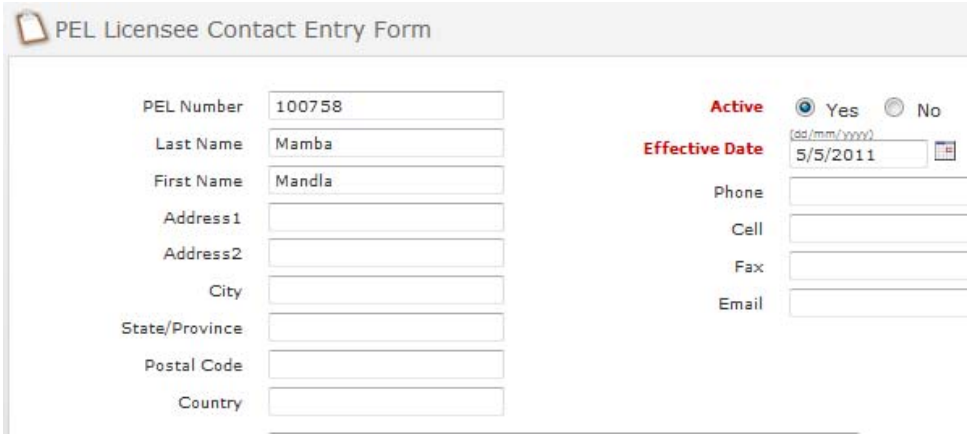
After completing the PEL Primary Record table, the next logical step is to enter the PEL License CONTACT information. This will ensure that all of the information about the Licensee is in the database.

10.8.1 ENTRY PROCESS

The process of entering PEL CONTACT information is as follows—

1) From the *PEL Primary Records* data entry page for the specific license number, select the ADD button to the right of the label "Contact Info".

2) That selection will display the "PEL Contact" data entry form. Five (5) fields should auto-fill—



- License Number (auto-filled with the license number from the PEL Primary Record)
- Last Name (auto-filled with the last name of the person listed in the PEL Primary Record table)
- First Name (auto-filled with the first name of the person listed in the PEL Primary Record table)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user does not have to make any other entries in order to save the record. But the assumption is that all fields should be completed.

4) To facilitate better searches of specific fields, the user should make standardized entries in the remaining fields as directed by the CAA.

10.8.2 SAVE, CHECK AND EXIT THE RECORD

A. When these initial entries are completed, the user should select the ***Save & Return***.

1) This action will bring the user back to the "PEL Primary Record."

2) Notice that the Contact Info record counter indicates that there is at least one record attached to this PEL Primary Record.

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B. Now that this record has been saved in the database sub-table, if a user returns to edit this sub-table record, the only choice to save the record will be ***GO***. (The "Save and Attach" choice will not be available,)

- Once initially saved, the sub-table record becomes a "stand-alone" record.
- The database creators strongly recommend that editing of sub-table records be avoided.
- It is better from a historical perspective to generate a new sub-table record when a revision or additional record is necessary

10.8.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the PEL Licensee to check for any records that might be out-dated by the new record.

10.9 ENTERING PEL LICENSE(S) INFORMATION

Now that the PEL Licensee personal and contact information has been entered, the user should enter the specific license information.

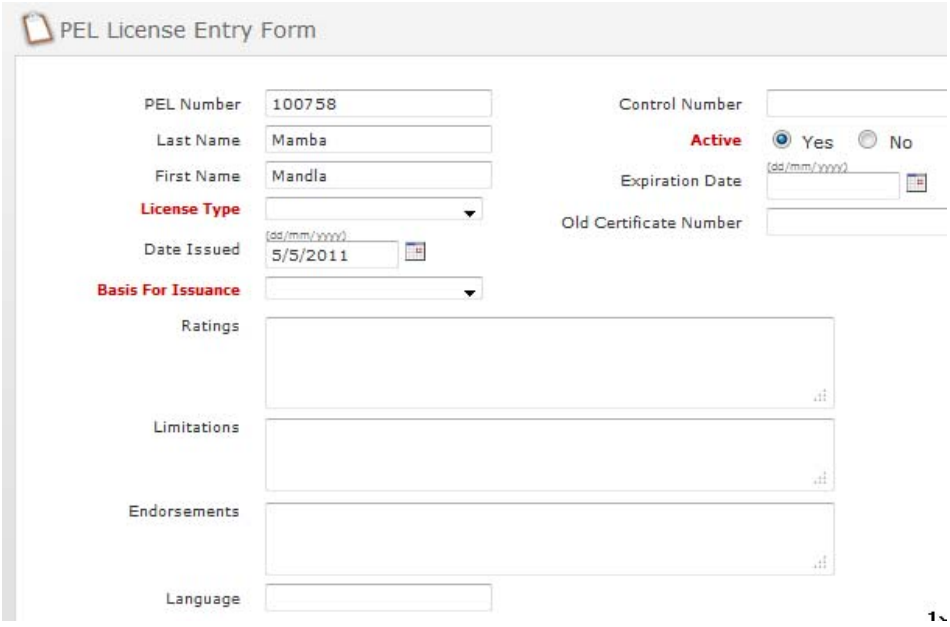
- The issuance of licenses and ratings are recorded in this sub-table.
- The results of any action taken regarding a license or rating are recorded in the PEL License History sub-table.

10.9.1 ENTRY PROCESS

The process of entering PEL LICENSE information is as follows—

1) From the *PEL Primary Record* data entry page for the specific license number, select the ADD button to the right of the label "Contact Info".

2) That selection will display the "License Entry" data entry form. Five (5) fields should auto-fill—



- ♦ License Number (auto-filled with the license number from the PEL Primary Record)
- ♦ Last Name (auto-filled with the last name of the person listed in the PEL Primary Record table)
- ♦ First Name (auto-filled with the first name of the person listed in the PEL Primary Record table)
- ♦ Effective Date (defaulted to current date - may be modified to a different date)

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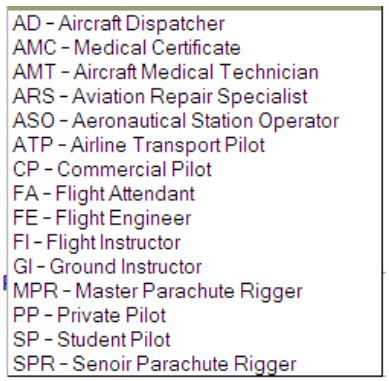
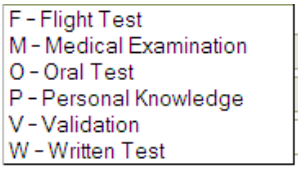
- Active?=Yes

3) The user must make three additional field entries in order to save the record—

- **License Type** Select from this drop-down menu the overall license that will be used by the database as the sort mechanism for this record.


AD - Aircraft Dispatcher
AMC - Medical Certificate
AMT - Aircraft Medical Technician
ARS - Aviation Repair Specialist
ASO - Aeronautical Station Operator
ATP - Airline Transport Pilot
CP - Commercial Pilot
FA - Flight Attendant
FE - Flight Engineer
FI - Flight Instructor
GI - Ground Instructor
MPR - Master Parachute Rigger
PP - Private Pilot
SP - Student Pilot
SPR - Senoir Parachute Rigger

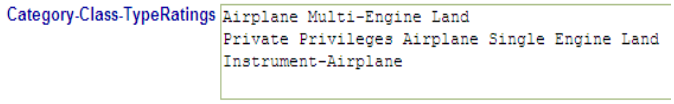
- **Basis for Issuance** Select from this drop-down menu the basis for the issuance of this license with the associated ratings, limitations and special endorsements. Note that as an individual adds a rating to the license, the basis for issuance of that specific rating will be the selection made.



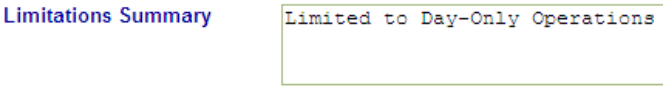
- **License Rating.** Select from this drop-down menu the actual words that will appear on the individual's license as the overall rating issued.

4) In order to complete the record, the user should make entries in three other fields—

- **Category-Class-Type Ratings**. This field is a free-text field. The ratings in this field should be entered exactly (including punctuation and carriage returns) as they will appear on the individual's license.



- **Limitations Summary.** This field is a free-text field. The limitations applicable to the license and rating should be entered exactly as they will appear on the individual's license.



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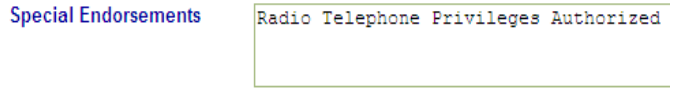
- **Special Endorsements.** This field is a free-text field. The special endorsements applicable to the license should be entered exactly as they will appear on the individual's license.



10.9.2 SAVE, CHECK AND EXIT THE RECORD

A. When these entries are completed, the user should select the ***Save & Return***.

1) This action will bring the user back to the "PEL Primary Record."

2) Notice that the License Info record counter indicates that there is at least one record attached to this PEL Primary Record.

10.9.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the PEL Licensee to check for any records that might be out-dated by the new record.

10.10 ENTERING PEL MEDICAL CERTIFICATE INFORMATION

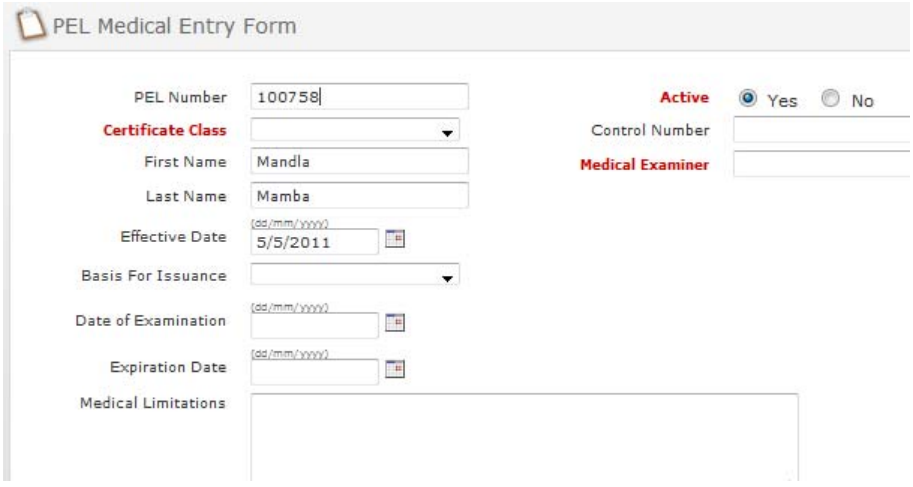
Some PEL Licensees are required to have a valid medical certificate in order to exercise the privileges of their license(s). The results of any medical examination and/or certificate issuance will be recorded in this sub-table.

10.10.1 ENTRY PROCESS

The process of entering PEL MEDICAL CERTIFICATE information is as follows—

1) From the *PEL Primary Record* data entry page for the specific license number, select the ADD button to the right of the label "MEDICAL CERT."

2) That selection will display the "PEL Medical Entry Form." Five (5) fields should auto-fill—



- License Number (auto-filled with the license number from the PEL Primary Record)
- Last Name (auto-filled with the last name of the person listed in the PEL Primary Record table)

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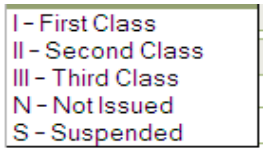
- First Name (auto-filled with the first name of the person listed in the PEL Primary Record table)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

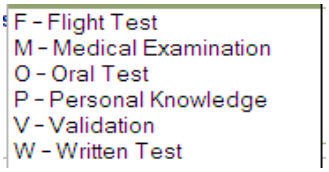
3) The user must make two additional field entries in order to save the record—

- **Certificate Class**. The first three selections record the issuance of a class of medical certificate. The "N" indicates that a medical examination was recorded, but no certificate was issued. The "S" indicates that this certificate was suspended for some reason.
- **Medical Examiner.** The medical examiner's name is recorded as last name - comma- first name.



4) In order to complete the record, the user should make entries in three other fields—

- **Basis for Issuance**. The applicable choices from this drop-down menu are "M" or "V."
- **Control Number**
- **Medical Limitations** (if applicable). This entry should be made in the standard text for the limitation as provided in the CAA's PEL guidance.



10.10.2 SAVE, CHECK AND EXIT THE RECORD

When these entries are completed, the user should select the ***Save & Return***.

1) This action will bring the user back to the "PEL Primary Record."
2) Notice that the License Info record counter indicates that there is at least one record attached to this PEL Primary Record.

10.10.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the PEL Licensee to check for any records that might be out-dated by the new record.

10.11 ENTERING PEL DESIGNEE INFORMATION

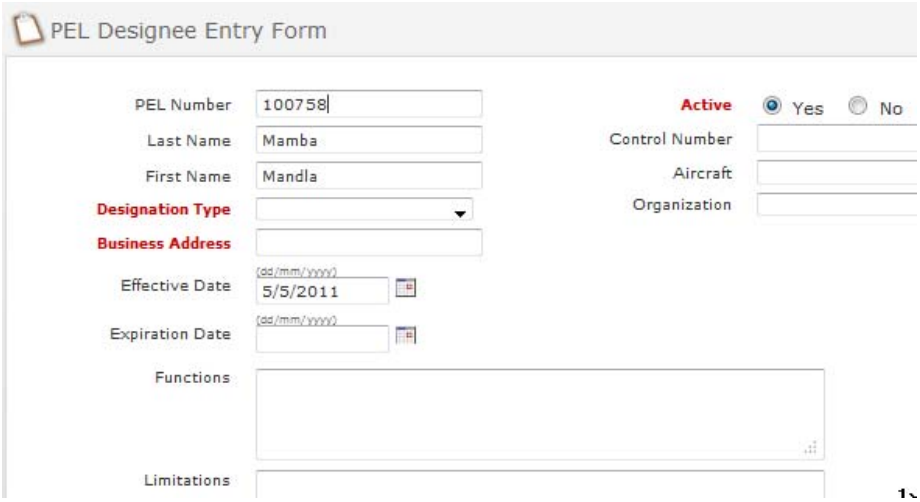
This sub-table is provided to keep up-to-date records on the industry personnel authorized to conduct PEL activities on behalf of the CAA. If the PEL Licensee is authorized to such activities, this is the location to enter and track authorizations that have been issued.

10.11.1 ENTRY PROCESS

The process of entering PEL DESIGNEE information is as follows—

1) From the *PEL Primary Record* data entry page for the specific license number, select the ADD button to the right of the label "Designee Records."

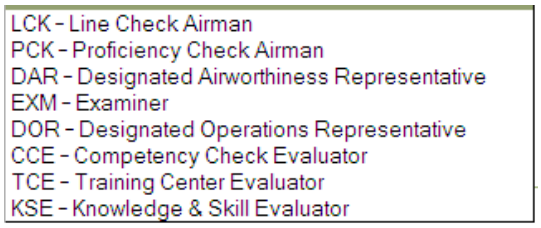
2) That selection will display the "PEL Designee Entry Form." Five (5) fields should auto-fill—



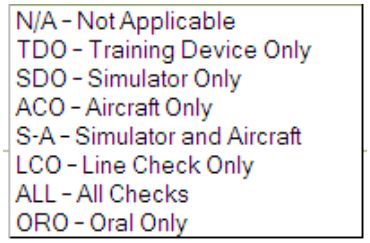
- License Number (auto-filled with the license number from the PEL Primary Record)
- Last Name (auto-filled with the last name of the person listed in the PEL Primary Record table)
- First Name (auto-filled with the first name of the person listed in the PEL Primary Record table)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make two additional field entries in order to save the record—

- **Designation Type.** This drop-down menu provides a listing of designations that have been used by CAAs.


LCK - Line Check Airman
PCK - Proficiency Check Airman
DAR - Designated Airworthiness Representative
EXM - Examiner
DOR - Designated Operations Representative
CCE - Competency Check Evaluator
TCE - Training Center Evaluator
KSE - Knowledge & Skill Evaluator

- **Designation Category** This drop-down menu provides a listing of typical categories for which a designee may be authorized.


N/A - Not Applicable
TDO - Training Device Only
SDO - Simulator Only
ACO - Aircraft Only
S-A - Simulator and Aircraft
LCO - Line Check Only
ALL - All Checks
ORO - Oral Only

4) In order to complete the record, the user should make entries in three other fields—

- **Expiration Date**. These designations are normally given for a period of 12 months.
- **Aircraft.** (if applicable) This drop-down menu is provided from the CAA Action Aircraft MMS sub-table. If the aircraft MMS does not appear in the sub-table it will be necessary to have the Sys Admin enter the new MMS in the sub-table.
- **Organization** (if applicable) This drop-down menu is provided from the CAA Action Organization sub-table.

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10.11.2 SAVE, CHECK AND EXIT THE RECORD

When these entries are completed, the user should select the ***Save & Return***.

1) This action will bring the user back to the "PEL Primary Record."

2) Notice that the License Info record counter indicates that there is at least one record attached to this PEL Primary Record.

10.11.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the PEL Licensee to check for any records that might be out-dated by the new record.

10.12 ENTERING PEL LICENSE HISTORY INFORMATION

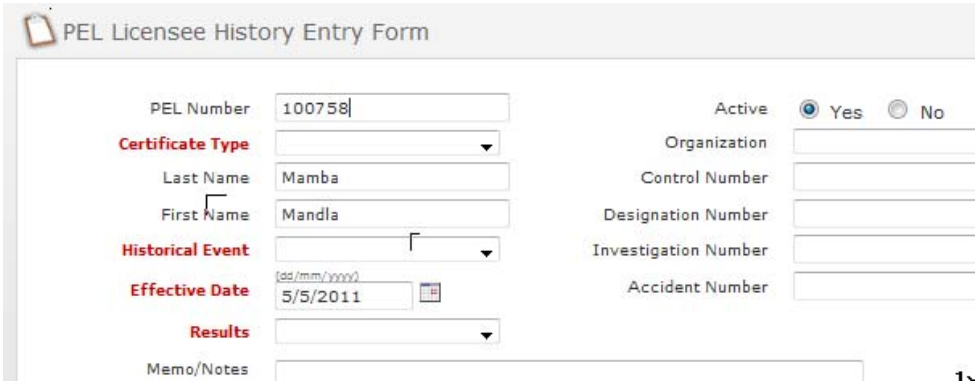
This sub-table is provided to allow the CAA to have a method separate from the CAA Action table to track CAA actions related to a license. Some CAAs have chosen to use both the inspector and the licensing clerk to track these historical events.

10.12.1 ENTRY PROCESS

The process of entering PEL LICENSE HISTORY information is as follows—

1) From the *PEL Primary Record* data entry page for the specific license number, select the ADD button to the right of the label "LICENSE HISTORY."

2) That selection will display the "PEL Licensee History Entry Form." Five (5) fields should auto-fill—



- License Number (auto-filled with the license number from the PEL Primary Record)
- Last Name (auto-filled with the last name of the person listed in the PEL Primary Record table)
- First Name (auto-filled with the first name of the person listed in the PEL Primary Record table)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make two additional field entries in order to save the record—

- **Certificate Type**. This drop-down menu is the same menu that is provided in the PEL License sub-table.

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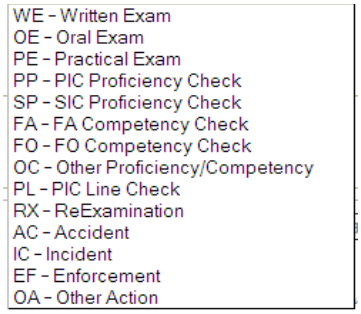
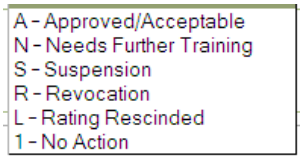
- **Historical Event** This drop-down menu provides a listing of typical events that could happen to an license holder that should be retained for historical information.


WE - Written Exam
OE - Oral Exam
PE - Practical Exam
PP - PIC Proficiency Check
SP - SIC Proficiency Check
FA - FA Competency Check
FO - FO Competency Check
OC - Other Proficiency/Competency
PL - PIC Line Check
RX - ReExamination
AC - Accident
IC - Incident
EF - Enforcement
OA - Other Action

- **Results** This drop-down menu provides a listing of possible results that would occur during any of the historical events.



- **Entered By**. This field is provided to record the person entering the historical event. It is necessary to ensure that persons involved in the event and entering the data are included in the "chain-of-custody" of these records.

4) In order to complete the record, the user may also make an entry in one or more of the "number" fields in the left column or include a Memo/Note.

10.12.2 SAVE, CHECK AND EXIT THE RECORD

A. When these entries are completed, the user should select the ***Save & Return***.

1) This action will bring the user back to the "PEL Primary Record."

2) Notice that the License Info record counter indicates that there is at least one record attached to this PEL Primary Record.

10.12.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the PEL Licensee to check for any records that might be out-dated by the new record.

10.13 ENTERING PEL LOGBOOK REVIEW INFORMATION

Logbook reviews are normally conducted by CAAs on an annual or event-based occurrence. This sub table is provided to allow the collection of relevant information from the PEL Licensee's logbook.

10.13.1 ENTRY PROCESS

The process of entering PEL LOGBOOK REVIEW information is as follows—

1) From the *PEL Primary Record* data entry page for the specific license number, select the ADD button to the right of the label "LOGBOOK REVIEW."

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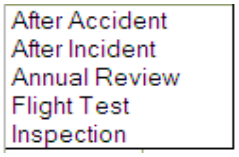
2) That selection will display the "PEL LOGBOOK REVIEW Entry Form." Five (5) fields should auto-fill—

- License Number (auto-filled with the license number from the PEL Primary Record)
- Last Name (auto-filled with the last name of the person listed in the PEL Primary Record table)
- First Name (auto-filled with the first name of the person listed in the PEL Primary Record table)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make two additional field entries in order to save the record—

- **Purpose of Review** Use the drop-down menu to select the reason for the review. This list provides the normal possibilities for conducting a logbook review.



- **Flight Time**. This field is to collect "total" time. The recommended method is for those times should be entered in tenths of an hour (e.g. 0.1= 6 minutes; 0.2=12 minutes, etc.). The real issue here is to ensure that all persons make these entries in a standardized manner.

4) In order to complete the record, the user should make entries in all of the fields, using a zero for those fields where the PEL Licensee does not have logbook entries.

10.13.2 SAVE, CHECK AND EXIT THE RECORD

A. When these entries are completed, the user should select the ***Save & Return***.

1) This action will bring the user back to the "PEL Primary Record."

2) Notice that the License Info record counter indicates that there is at least one record attached to this PEL Primary Record.

10.13.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the PEL Licensee to check for any records that might be out-dated by the new record.

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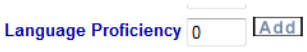
10.14 ENTERING PEL LANGUAGE PROFICIENCY INFORMATION

Language proficiency evaluations are normally conducted by CAAs as an initial licensing and recurring as necessary. This sub table is provided to allow the collection of relevant information from the PEL language proficiency evaluation.

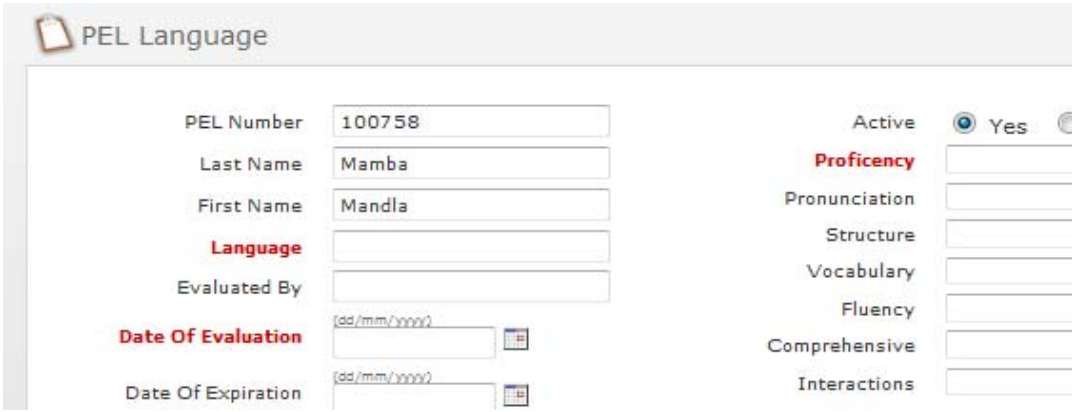
10.14.1 ENTRY PROCESS

The process of entering PEL LANGUAGE PROFICIENCY information is as follows—

1) From the *PEL Primary Record* data entry page for the specific license number, select the ADD button to the right of the label "LANGUAGE PROFICIENCY."



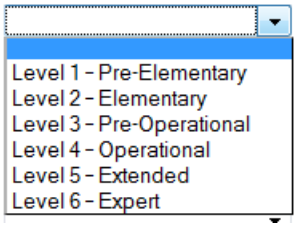
2) That selection will display the "PEL LANGUAGE PROFICIENCY Entry Form." Five (5) fields should auto-fill—



- ***License Number*** (auto-filled with the license number from the PEL Primary Record table)
- ***Last Name*** (auto-filled with the last name of the person listed in the PEL Primary Record table)
- ***First Name*** (auto-filled with the first name of the person listed in the PEL Primary Record table)
- ***Date of Evaluation*** (defaulted to current date - may be modified to a different date)
- ***Active?*** This field defaults to "Yes."

3) The user shouldt make two additional field entries—

- ***Language*** Type in the language proficiency that was evaluated.
- ***Proficiency***. This field is a drop-down menu (shown here). The user will select the level that the applicant demonstrated.



4) In order to complete the record, the user should make entries in two other fields—

- ***Evaluated By.*** This is a free-form text field in which the name of the evaluator (individual or organization) is entered.
- ***Date of Expiration*****.** This field should be left blank if the initial evaluation found the language proficiency was "Level 6:Expert." All other levels will require a re-examination each 3 years.

5) The following additional fields are provided to keep a detail record of the evaluation and use the same drop-down menu provided for the ***Proficiency*** field—.

- **Pronunciation**
- **Structure**

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- **Vocabulary**
- **Fluency**
- **Comprehensive.**

10.14.2 SAVE, CHECK AND EXIT THE RECORD

A. When these entries are completed, the user should select the ***Save & Return***.

1) This action will bring the user back to the "PEL Primary Record" page.

2) Notice that the License Info record counter indicates that there is at least one record attached to this PEL Primary Record.

10.14.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the PEL Licensee to check for any records that might be out-dated by the new record.

10.15 COLLECTING THE PEL APPLICANT'S PHOTOGRAPH

A. The applicant should be required to submit a recent digital photo with his application.

- An alternative would be a photograph that has been scanned as a jpeg or tif file. But these files are usually not as easy to manipulate in a Photo Editor software.

B. The CASORT-PEL has the capability to retain the photo file and insert that photo on a PEL license template.

10.15.1 PREPARING THE PHOTO

The following steps should be taken to prepare the photo for inclusion in the database—

1) Rename the photo file to a name that incorporates the PEL number that is assigned to the PEL Primary Record.

- For example, if the PEL number is 000603, the first photo file entered for this person would be named 000603-1-photo.
- The photo will work best if it is saved as a jpeg file.

2) Before inclusion in the database, photo may need to be cropped to ensure that the face fills the photo will only a small distance from the ears, chin and top of head to the sides and top of the photo. This will give the largest display of the person's face on the license.

3) In most cases, the photo will have to be manipulated in a Photo Editor software to vary the contrast and brightness to achieve the best clarity.

4) These actions will introduce a complexity in the jpeg file that will cause the database to reject the photo for insertion on the license template, so it will be necessary to—

(a) Use a program such as PureJpeg (www.purejpeg.com) to clear the digital file for insertion; or

(b) Use the save feature in the photo editing software used that allows the cleaning up of the file for the purpose of insertion on the Internet.

- Either of these methods of preparing the photo will work.
- But it important that the specific steps be provided locally in formal written guidance to ensure that the photo files are saved properly.

5) Save this file to a specific location on the user's computer.

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10.15.2 ENTRY PROCESS

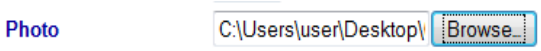
The process of inclusion of the Applicant's PHOTO in the database is as follows—

1) From the *PEL Primary Record* data entry page for the specific PEL number, select the ***Browse*** button to the right of the label "Photo."

2) That selection will open a Windows screen labeled "File Upload."

3) Navigate to the digital photo file and double-click on that file name;

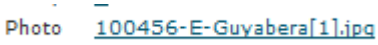
4) That action will insert the path to the file into the window between the label "Photo" and the Browse button.



5) Now go to the bottom of the Primary Record and select ***GO***;

6) That action will bring up navigation links; select ***Edit the record just entered*** to return to the PEL Primary Record

7) Note that the file name of the photo now appears to the right of the Browse button.



8) Return to the home page.

10.15.3 CHECKING FOR PROBLEMS WITH PHOTO FILE

It is a good practice to check to see if the database will place the photo on the PEL license by—

1) Home Page>View PEL Sub-tables>PEL Licenses

2) From the View Page of PEL licenses, the user should select the PEL Number of the file, for example, 000323;

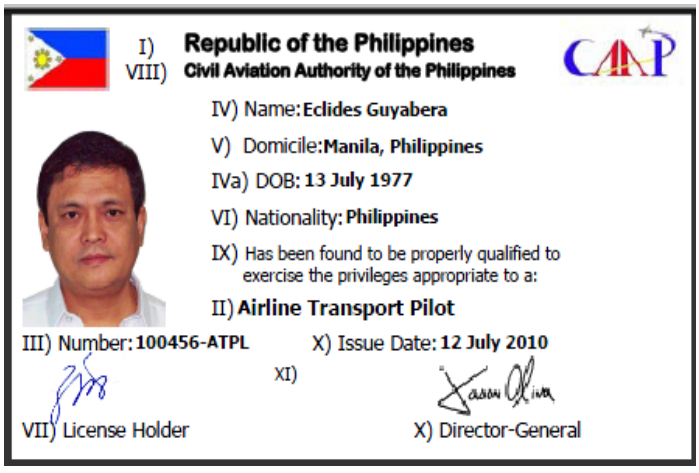
3) That action will bring up the Edit display for the PEL License;

4) Near the bottom of the file there will be a link labeled ***View Pilot License***;

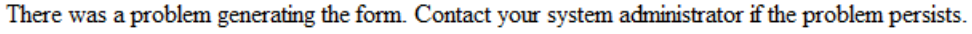
5) Selecting that link will start the sequence to display the license;

6) If the license is displayed, the photo should appear on the left side of the license.

   - The picture will auto-fit into the designated space. Poorly cropped pictures may appear slight distorted.



7) If, instead of starting the display of the license, the following database error message is displayed, it will be necessary to reload the picture.



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- These problems generally occur during the first time using of the database until the users become more adept at ensuring that the photo files are "clean."

10.15.4 REPLACING A PHOTO

A. Replacing a old photo is very easy.

1) Follow all of the steps outlined in the "entry process;"

2) The new photo will "displace" the old photo as the default selection for the PEL license.

B. The old photo is retained in the database and is accessible by the Systems Administrator.

10.16 COLLECTING THE PEL APPLICANT'S SIGNATURE

A. The applicant's signature will be included as a part of the application.

B. That signature will be scanned into the computer as a gif file.

- An alternative would be to have the applicant provide a digital copy of his signature as a gif file.

- The signature should be collected in a white signature block with the requirement that the applicant signature must be completely in the signature block.
- Collection will make the scanning and transparency actions easier.

C. The CASORT-PEL has the capability to retain the signature file and insert that signature on a PEL license template.

10.16.1 PREPARING THE SIGNATURE

The following steps should be taken to prepare the signature for inclusion in the database—

1) Rename the signature file to a name that incorporates the PEL number that is assigned to the PEL Primary Record.

- For example, if the PEL number is 000603, the first signature file entered for this person would be named 000603-1-signature.
- The signature will work best if it is saved as a gif file.

2) Before inclusion in the database, signature e.

3) In most cases, the signature will have to be manipulated in a Photo Editor software create a transparent background.

4) Save this file to a specific location on the user's computer.

10.16.2 ENTRY PROCESS

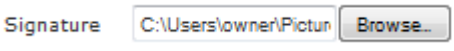
The process of inclusion of the Applicant's signature in the database is as follows—

1) From the *PEL Primary Record* data entry page for the specific PEL number, select the ***Browse*** button to the right of the label "Signature."

2) That selection will open a Windows screen labeled "File Upload."

3) Navigate to the digital signature file and double-click on that file name;

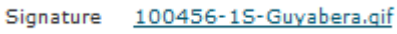
4) That action will insert the path to the file into the window between the label "signature" and the Browse button.



5) Now go to the bottom of the Primary Record and select ***Go***;

6) That action will bring up the navigation links menu; select ***Edit the record just entered*** to return to the PEL Primary Record

7) Note that the file name of the signature now appears to the right of the Browse button.



8) ***GO*** to leave the Primary Record. Return to the home page.

10.16.3 CHECKING FOR PROBLEMS WITH SIGNATURE FILE

It is a good practice to check to see if the database will place the signature on the PEL license by—

1) Select ***Home Page>View PEL Sub-tables>PEL Licenses***;
2) From the ***View*** Page of PEL licenses, the user should select the PEL Number of the file, for example, 000323;
3) That action will bring up the ***Edit*** display for the PEL License;
4) Near the bottom of the file there will be a link labeled ***View Pilot License***;
5) Selecting that link will start the sequence to display the license;
6) If the license is displayed, the signature should appear on the bottom left side of the license above the words “License Holder;”.
   - The signature will auto-fit into the designated space distorted.
7) If, instead of starting the display of the license, the following database error message is displayed, it will be necessary to reload the signature file (or scan a new copy).

> There was a problem generating the form. Contact your system administrator if the problem persists.

   - These problems generally occur during the first time using of the database until the users become more adept at ensuring that the signature files are “clean.”

10.16.4 REPLACING A SIGNATURE

A. Replacing an old signature is very easy.
   1) Follow all of the steps outlined in the “entry process;”
   2) The new signature will “displace” the old signature as the default selection for the PEL license.

B. The old signature is retained in the database and is accessible by the Systems Administrator.

10.17 EDITING OR PRINTING PDF-GENERATED DOCUMENTS

10.17.1 OPENING THE RECORD

To open the record for viewing, editing or printing—

1) From the Home Page, select the ***View*** button on the Personnel Licensing bar.;

2) This action will display PEL Primary Record listing. Navigate to the PEL license holder whose information is to be revised.
3) Select View for the PEL license holder;

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4) This action will display the PEL Primary Record View page for that license holder;

5) Select the PEL Sub-table ***number*** for the sub-table to view or edit those records to print.

- PEL Licenses = View (& print) an ID card-sized PEL License
- PEL Medicate Certificate = View (& print) an ID card-sized Medicat Certificate.
- PEL Designees = View (& print) an ID card-size Designee Certificate of Authority
- PEL Designees = View (& print) a wall display-size Designee Certificate of Designation

6) This action will display a listing of the active PEL records for the selected sub-table, defaulted in an ascending order with the largest number appearing at the top of the list.

7) Assuming that there is only one active record for the PEL number for this sub-table, the access will be provided. Selecting ***View*** will open that record;

	Effective Date	PEL Number	Last Name	First Name	Designation Type	Aircraft	Organization	Active
View	19/09/2009	00434	Perkins	Gary	DCA			Yes

- More than one active sub-table record for a PEL number normally means that one record needs to be deactivated.
- It is possible (but unusual) that an individual may be authorised more than one active record (such as for PEL Licenses or PEL Designees). It the user is uncertain about the status, no record should be deactivated.

To deactivate a sub-table record—
- Select View to display the record;
- Select Edit to open the record for editing;
- Select the NO radial button for Active;
- Select GO.

8) That selection will cause the sub-table record to be displayed;

9) The user may now—

(a) ***Print*** the View record; or

(b) Open the record for ***Edit***

If the **Edit** and **Print** links do not appear, the user does not have the permissions for those functions.

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10.18 PRINT THE PDF DOCUMENTS

10.18.1 PRINT THE ID CARD-SIZED PDF DOCUMENT

10.18.1.1 General

A. If the user has the permissions that allow the printing of the official documents, a view link will appear at the bottom of the View record—

1) PEL License = ***View PEL License***

2) PEL Medical Certificate = ***View Medical Certificate***

3) PEL Designee = ***View Designee Authority***.

B. The Certificate of Authority is intended to be the official document that conveys the functions and limitations assigned to this designee and the period of service authorised.

10.18.1.2 Procedure for Printing the ID Card

A. To print the ID card, the user must first set-up the printer using the following steps—

1) Ensure that the ID card printer is “on;”

2) Printer is connected to computer;

3) Blank cards are inserted in the printer;

4) Printer is selected.

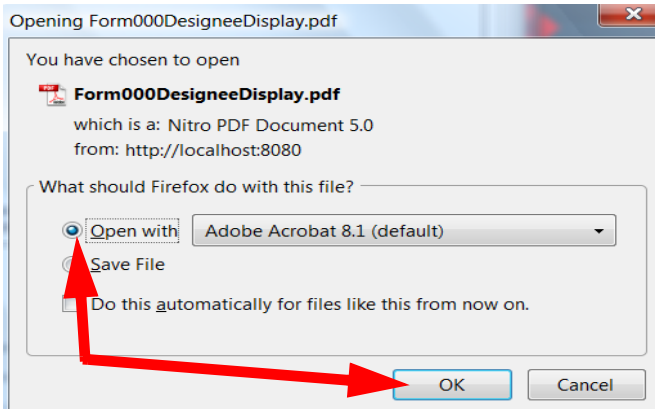
B. The user will now—

1) Select appropriate link to ***View the PDF card.***;

2) This action will start the sequence to extract the data from the CASORT-PEL sub-table and insert it in a PDF template provided in the database;

3) A window to complete this action will open;

4) Ensure that the radial button ***Open With*** is selected and the software specified is Adobe Acrobat;



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5) Select the ***OK*** button at the bottom of the window;

6) This action will display the front side of the proposed new card

7) Check the front side for accurate information, including the signature of the Authorizing Officer (not shown in this example.)

REPUBLIC OF THE PHILIPPINES
CIVIL AVIATION AUTHORITY OF THE PHILIPPINES
CERTIFICATE OF DESIGNATED AUTHORITY

This designation is issued to:

Emmanuel Gyamera

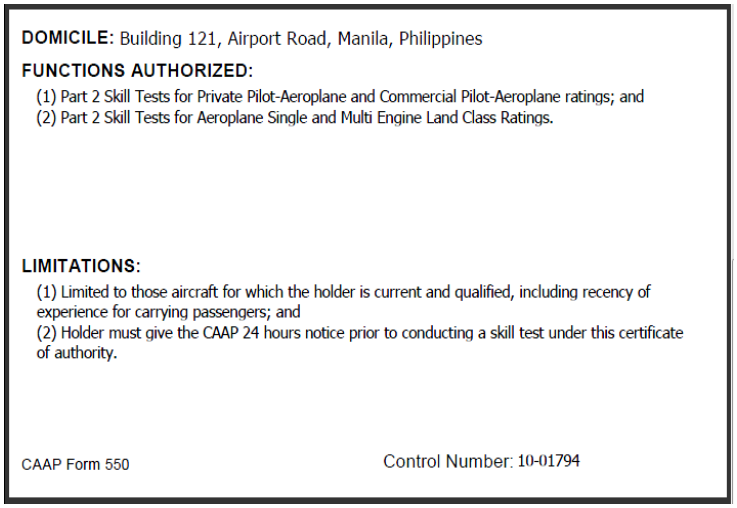
who has demonstrated competency, received all pertinent instructions and is authorized to act in the following capacity under the supervision of the Civil Aviation Authority of the Philippines:

Designated Pilot Examiner

Designation Number: 100054-DPE
Date of Expiration: 31 July 2012
Director-General
The authorizations listed herein were granted on: 07 July 2011

8) Use the right side scroll bar to scroll to the reverse side of the proposed card;

9) Check the information on this side for accuracy;


DOMICILE: Building 121, Airport Road, Manila, Philippines

FUNCTIONS AUTHORIZED:
(1) Part 2 Skill Tests for Private Pilot-Aeroplane and Commercial Pilot-Aeroplane ratings; and
(2) Part 2 Skill Tests for Aeroplane Single and Multi Engine Land Class Ratings.

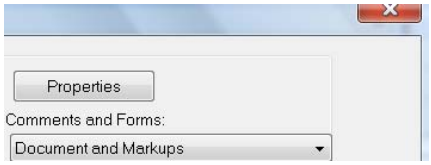
LIMITATIONS:
(1) Limited to those aircraft for which the holder is current and qualified, including recency of experience for carrying passengers; and
(2) Holder must give the CAAP 24 hours notice prior to conducting a skill test under this certificate of authority.

CAAP Form 550 Control Number: 10-01794

C. Ensure that the ID card printer is set to—

1) Print a 2-sided card; by—

(a) Selectling the ***Properties*** button located in the upper left corner of the Print Menu;



(b) Then select ***Duplex***; and

(c) Selecting ***OK*** returns to the Print Menu; now

2) Print as a “visual image;”by—

(a) Selecting the ***Advanced*** button located in the bottom left corner of the Print menu; and

(b) Selecling the box for ***Print as Visual Image***;

(c) Selecting ***OK*** will return the user to the Print Menu;

D. Now print the card by—

1) Selecting print one copy.

2) Select ***OK*** to print the card; then

3) Check the printed card for accuracy.

E. Close the temporary computer file containing the Acrobat document. (This action will cancel the document)

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10.18.2 PROCEDURES FOR PRINTING WALL DISPLAY TYPE DOCUMENTS

10.18.2.1 General

A. The large-sized printing is intended to be a document intended for wall display, e.

B. It will be printed on card stock paper selected specifically for wall display.

10.18.2.2 Printing the Wall Display Document

A. To print the Wall Display Document, the user must first set-up the printer using the following steps—

1) Ensure that the color printer is “on;”

2) Printer is connected to computer;

3) Appropriate card stock for full size display is inserted in the paper tray to be used.

4) Printer is selected.

The user will now—

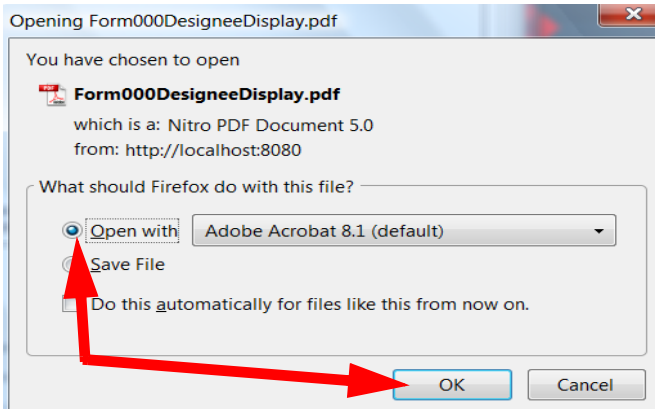
5) Select appropriate ***View*** link;

6) This action will start the sequence to extract the data from the CASORT-PEL record and insert it in a PDF template provided in the database;

7) A window to complete this action will open;

8) Ensure that the radial button ***Open With*** is selected and the software specified is Adobe Acrobat;

9) Select the ***OK*** button at the bottom of the window;



10) This action will display the proposed wall display document;

11) Check the proposed document for accurate information, including the signature of the Authorizing Officer.)

12) Ensure that the color printer is set to—

- Print a single-sided letter size;
- Print in “landscape;”
- Print one copy.

13) Select OK to print the display certificate;

14) Check the display document for accuracy; then

15) Close the temporary computer file containing the Acrobat document. (This action will cancel the document)

End of Chapter

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Chapter 11
Organization Approvals & Data Collection

A. The CASORT Suite of databases contains two primary methods to collect and track information about specific organizations that are included under the safety oversight of the CAA.

B. CAA Action database recording of the specific organization identifier associated with an inspector work activity;

- This allows the searching of the CAA Action records through the use of the view, search and standard report capability of the computer.

C. The Organization database recording the detailed information regarding a particular organization in the special Organization tables provided with CASORT database.

- This allows *much more detailed* viewing, searching and reporting capability specific to the organization than could be accomplished through the CAA Action database.

11.1 ACCESSING A CURRENT ORGANIZATION RECORD

To access a current ORGanization record from the Home Page, move to the bottom left set of links (under the tab labeled Qualification and

1) Select ***View*** button on the Organization Approvals;

2) That action will display the listing of ALL ORGanization records in the database;

   - ♦ Remember that the list is defaulted to display the last record entered at the top of the list.
   - ♦ Remember that you can adjust this list by clicking on the header labels to make the list ascending or descending for that column.;

3) From the list, select the ORGanization record that you would like to access by clicking on ***View*** (in the far left column);

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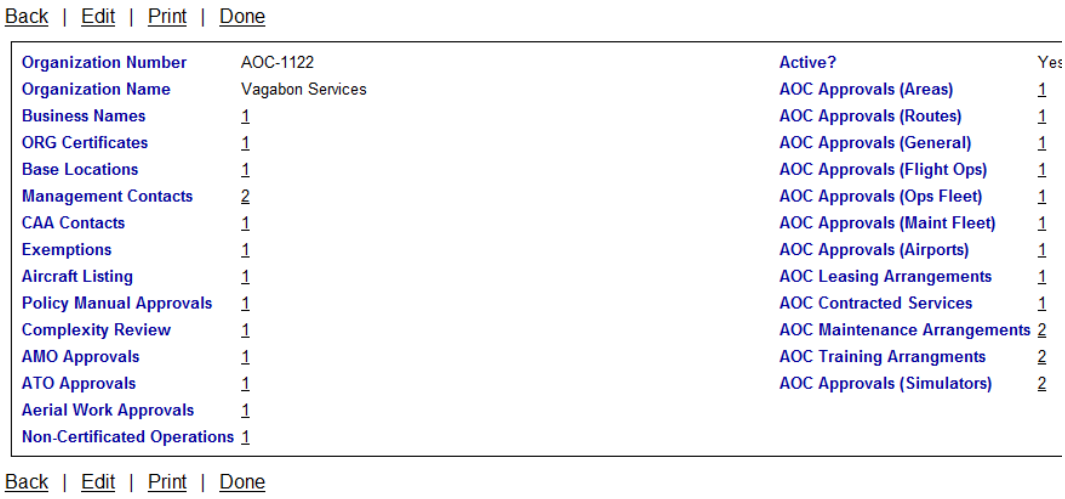
4) That action will display the View screen for the related record;



5) The user may now take the following actions —

- To add new information to the ORGanization Record – select ***Edit*** – which will open the Primary record to enter new data in the Primary Record or its sub-tables.

  Choose this action to add new sub-table information.

- To revise existing data to this – by placing the cursor on the ***underlined number*** to right of the appropriate sub-table and selecting that number.

  Choose this action to edit sub-tables.

- Select ***View Organization Comprehensive Report*** – which will auto-fill this record number in preparation for extracting this report.

  Choose this action to view and print a comprehensive report for this employee.

- Selecting ***Back*** or ***Done*** will return the user to the listing of ORGanization records.

11.2 PRINTING THE COMPREHENSIVE REPORT

If the user would like to print a comprehensive report of this ORGanization's record, he should —

1) From the View page of the Primary record ffor the ORGanization, select ***View Organization Comprehensive Report***;

2) That action will display the report filter page auto-filled with this Organization's number;

   - Note the record is defaulted to "Active Only," which would be the normal report select.

3) If the user purpose is to view the report, select ***Generate Report***;

   - The remainder of the possible selections on the view page are intended for preparation of formal reports.

4) That action will display the comprehensive report in a separate web page

5) If a revision was made to the database record, print this current information and insert in Organization hard-copy working file.

   - Discard the superceded hard-copy of the report from the ORGanization's working file.

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- The HTML report will be adequate for on-going updating of the hard-copy file.
- Consider constructing an Excel report for formal presentation to international auditors.

11.3 ADDING DATA TO AN EXISTING EMPLOYEE QUALIFICATION RECORD

To add data to an existing ORGanization record —

1) From the Home Page, select ***View ORG Primary Recorda***;
2) That action will display the listing of the organizations in the database; select the ***View*** for the specific record to access;
3) That action will display the View Page for the specific record, now select ***Edit***;
4) That action will display the Organization record in the data entry mode.

Back | Edit | Print | Done

Organization Number	AOC-1122	Active?	Yes
Organization Name	Vagabon Services	AOC Approvals (Areas)	1
Business Names	1	AOC Approvals (Routes)	1
ORG Certificates	1	AOC Approvals (General)	1
Base Locations	1	AOC Approvals (Flight Ops)	1
Management Contacts	2	AOC Approvals (Ops Fleet)	1
CAA Contacts	1	AOC Approvals (Maint Fleet)	1
Exemptions	1	AOC Approvals (Airports)	1
Aircraft Listing	1	AOC Leasing Arrangements	1
Policy Manual Approvals	1	AOC Contracted Services	1
Complexity Review	1	AOC Maintenance Arrangements	2
AMO Approvals	1	AOC Training Arrangments	2
ATO Approvals	1	AOC Approvals (Simulators)	2
Aerial Work Approvals	1		
Non-Certificated Operations	1		

Back | Edit | Print | Done

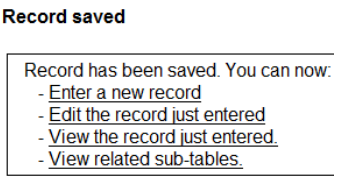
5) The user may now *edit* the Primary Record or *add* new information to the sub-tables by selecting the ***ADD*** button to the right of the appropriate sub-table label.

Do not use the View buttons to the right of the sub-table to edit existing records. There is a problem with this feature..

6) This action will display the selected sub-table data entry form.
7) Complete that form in accordance with the guidance that is contained later in this chapter.
8) ***Save and return*** to the Primary Record;
9) ***Go*** to leave the Primary Record

10) This action will display the "Record Saved" links

- The user will choose ***Edit the record just entered*** if more information is to be added to the Organization's record,
- The user will choose ***View the record just entered*** to edit any of the information in the sub-tables to this record.


Record saved
Record has been saved. You can now:
- Enter a new record
- Edit the record just entered
- View the record just entered.
- View related sub-tables.

11) The user should select the ***Home*** tab if all work is completed on this particular record.

11.4 ENTERING A NEW ORGANIZATION

11.4.1 START HERE: ENTERING A NEW ORGANIZATIONAL IDENTIFIER

A. It is important to ensure that the CAA Action database table for Organization Identifier has at least one selectable organization identifier for this organization before entering a new ORG Primary Record.

B. This database requires a different organization identifier for each new entry in the "ORG Certificates." That will require the prior assignment of the organization identifier and a new entry in the CAA Action Organization sub-table in preparation for working in thIs Organization database.

C. Before making a new organization Primary Record entry in this sub-table, the user must follow the CAA's protocol (see Chapter 6) and accomplish the entry of a new organization identifier.

It will NOT BE POSSIBLE to properly save the record unless this action is taken BEFORE starting the data entry in the ORG database.

D. The first step is to have the technical supervisor enter that information in the CAA Action Organization sub-table in accordance with the instructions provided in Chapter 6.

11.4.2 NOW ENTER THE NEW ORG RECORD

Entering a new organization into the ORGANIZATION database is very simple.

1) Select the ***Enter*** button on the Organization Approvals;

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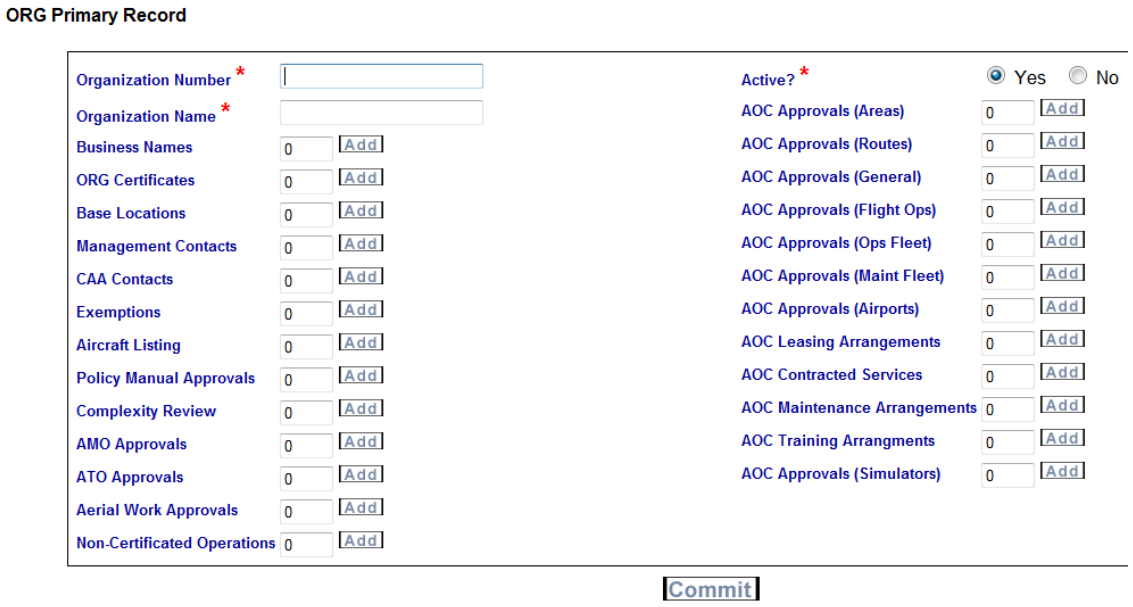
2) This will bring up the ORG *Primary Record* entry form. There are no noticeable default fields (other than the Yes/No "Active?" radial buttons).


ORG Primary Record
Organization Number *
Organization Name *
Business Names 0 Add
ORG Certificates 0 Add
Base Locations 0 Add
Management Contacts 0 Add
CAA Contacts 0 Add
Exemptions 0 Add
Aircraft Listing 0 Add
Policy Manual Approvals 0 Add
Complexity Review 0 Add
AMO Approvals 0 Add
ATO Approvals 0 Add
Aerial Work Approvals 0 Add
Non-Certificated Operations 0 Add
Active? * Yes No
AOC Approvals (Areas) 0 Add
AOC Approvals (Routes) 0 Add
AOC Approvals (General) 0 Add
AOC Approvals (Flight Ops) 0 Add
AOC Approvals (Ops Fleet) 0 Add
AOC Approvals (Maint Fleet) 0 Add
AOC Approvals (Airports) 0 Add
AOC Leasing Arrangements 0 Add
AOC Contracted Services 0 Add
AOC Maintenance Arrangements 0 Add
AOC Training Arrangments 0 Add
AOC Approvals (Simulators) 0 Add
Commit

3) The user should now complete at least the 3 required (red label) fields before taking any other action relative to this database.

The creators of this database strongly recommend that the user make the 3 entries shown in this procedure and SAVE the record – before making any other entries in the Organization database.

4) Enter the CAA-assigned number for the organization in this free-form 26 character field.

- The organization number is the methodology by which the database connects all future records to this Organization.
- It is critical that this number be a specific and unique number that can be searched.
- The recommended minimum characters should be six to provide for future additional organizations.

5) Enter the legal name of the organization into this free-form 26 character field.

6) The "Active" Yes/No radial button is defaulted to "Yes."

Note that the "Active" Yes/No will default to "Yes" in all of the Organization tables and sub-tables.

7) Assuming that the user is satisfied with the data that has been entered, it is now time to select ***Go*** to leave the record.

8) If the database confirms that the record has been saved, select ***Go to Home Page*** or ***Edit the record just entered***. The procedure associated with either selection will ultimately return the user to the ORG Primary Record entry form to continue the editing of the record.

Record saved
Record has been saved. You can now:
- Enter a new record
- Edit the record just entered
- View the record just entered.
- Go to the home page.

11.5 COMPLETING THE ORGANIZATION RECORD

A. Now any user will be able to return to this saved record for the purpose of completing or editing the record.

> The database creators recommend that the "new" entries to the sub-tables be accomplished by entering the ORG Primary Record, then "Add" the new record.

1) From the Home Page Select ***View*** button on the Organization Approvals;

2) On the VIEW page, the Organization can be found by—

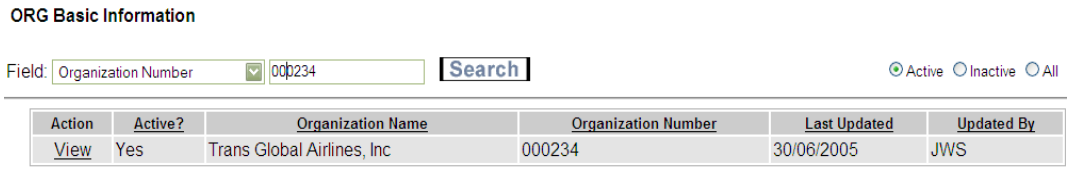
(a) Sorting the Organization Identifier column (click on column title) and finding the number in the new list;

(b) Sorting the Organization Number column and finding the correct number in the list;

> As the CAA database grows, the SEARCH function will rapidly become the best method for finding the specific ORGANIZATION record.

(c) Sorting the Organization Name column and finding the specific Organization; or

(d) Using the SEARCH function to "drill-down" to the Organization Number. In the example provided, the Organization Number [000234] was searched.


ORG Basic Information
Field: Organization Number 000234 Search
Active Inactive All
Action | Active? | Organization Name | Organization Number | Last Updated | Updated By
View | Yes | Trans Global Airlines, Inc | 000234 | 30/06/2005 | JWS

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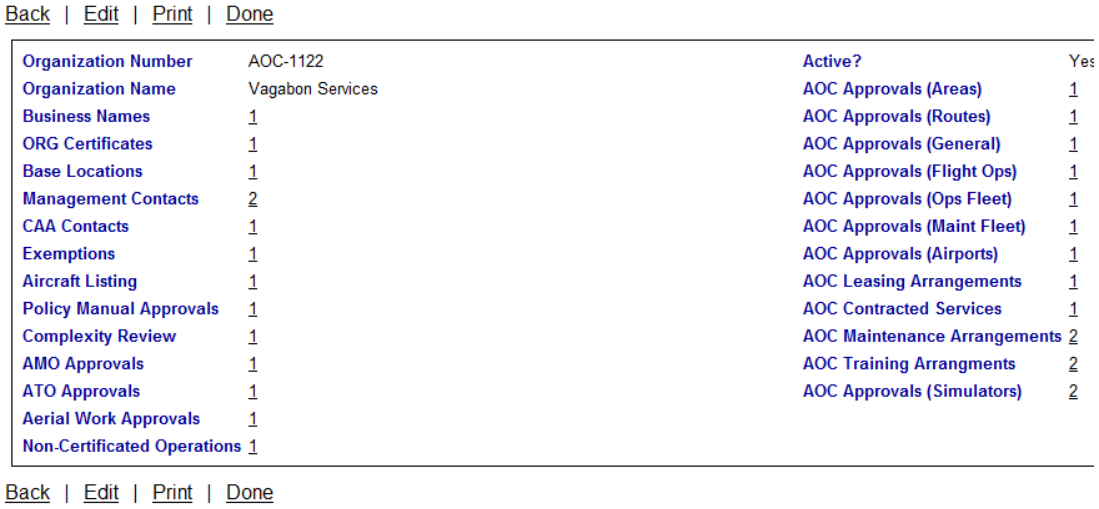
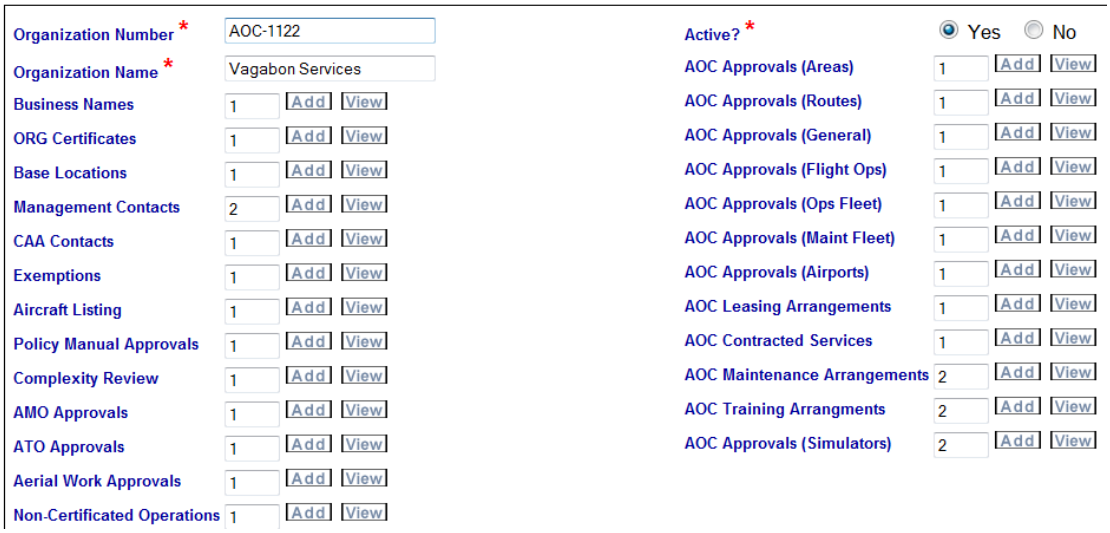
3) Selecting the ***View*** action word located in the left column of the View Page, will display the present contents of the specific Organization record selected.



4) To access the actual record for the purpose of adding to it, select ***EDIT.***

B. Note that, in the close-up example provided, the Organization number and name are now grayed-out. This indicates that it is no longer possible to change the serial number of this record. This is also true of the Aircraft MMS field.


Organization Number * AOC-1122
Organization Name * Vagabon Services
Business Names 1 Add View
ORG Certificates 1 Add View
Base Locations 1 Add View
Management Contacts 2 Add View
CAA Contacts 1 Add View
Exemptions 1 Add View
Aircraft Listing 1 Add View
Policy Manual Approvals 1 Add View
Complexity Review 1 Add View
AMO Approvals 1 Add View
ATO Approvals 1 Add View
Aerial Work Approvals 1 Add View
Non-Certificated Operations 1 Add View
Active? * Yes No
AOC Approvals (Areas) 1 Add View
AOC Approvals (Routes) 1 Add View
AOC Approvals (General) 1 Add View
AOC Approvals (Flight Ops) 1 Add View
AOC Approvals (Ops Fleet) 1 Add View
AOC Approvals (Maint Fleet) 1 Add View
AOC Approvals (Airports) 1 Add View
AOC Leasing Arrangements 1 Add View
AOC Contracted Services 1 Add View
AOC Maintenance Arrangements 2 Add View
AOC Training Arrangments 2 Add View
AOC Approvals (Simulators) 2 Add View

C. The user may now add or to the sub tables.

The user must first ensure that the Organization Identifier to be used in entering data in the sub tables is included in the CAA Action database sub table for Organization.

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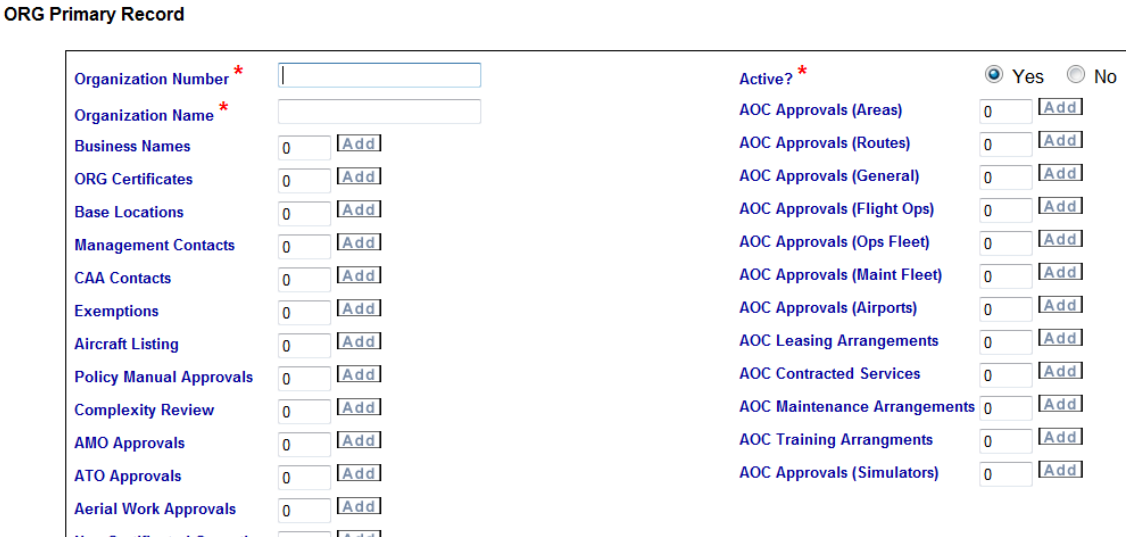
11.6 RELATIONSHIPS OF THE ORGANIZATION DATABASE TABLES

A. The primary table in the ORGANIZATION database is called the ORG Primary Record table


ORG Primary Record
Organization Number *
Organization Name *
Business Names 0 Add
ORG Certificates 0 Add
Base Locations 0 Add
Management Contacts 0 Add
CAA Contacts 0 Add
Exemptions 0 Add
Aircraft Listing 0 Add
Policy Manual Approvals 0 Add
Complexity Review 0 Add
AMO Approvals 0 Add
ATO Approvals 0 Add
Aerial Work Approvals 0 Add
Active? * Yes No
AOC Approvals (Areas) 0 Add
AOC Approvals (Routes) 0 Add
AOC Approvals (General) 0 Add
AOC Approvals (Flight Ops) 0 Add
AOC Approvals (Ops Fleet) 0 Add
AOC Approvals (Maint Fleet) 0 Add
AOC Approvals (Airports) 0 Add
AOC Leasing Arrangements 0 Add
AOC Contracted Services 0 Add
AOC Maintenance Arrangements 0 Add
AOC Training Arrangments 0 Add
AOC Approvals (Simulators) 0 Add

B. Those fields that appear on the ORG Primary Record entry form as "gray" boxes with the number "0" followed by the word "Add" are sub-tables to the primary ORGANIZATION table.

C. All of these sub-tables are linked to the ORG Primary Record by the organization's assigned ORG number entered in the field on the Primary Record entry form.

D. The organization's assigned number is auto-filled into the sub-table by the database.

When one of these sub-tables is selected, the ORGANIZATION certificate number will be defaulted (auto-filled) to the certificate number field that appears in the sub-table.

It is very important that the user complete the required (red label) fields on the ORG Primary Record entry form BEFORE proceeding to any of the sub-tables. Failure to follow this protocol may result in SAVE errors or compromised data.

E. When a record is entered in one of the sub-tables, the number in the box will change to reflect the current number of sub-table records linked to the ORG Primary Record.

F. This database will allow the user to make unlimited multiple records in each of the sub-tables

G. The purpose of the replicated fields on the ORG Primary Record and the sub-tables is to provide for SEPARATE viewing, sorting, searching and reporting of the data in the sub-tables.

This separate, but linked, relationship between the ORG Primary Record and sub-tables provides two key capabilities–

- A powerful historical archiving system, and
- The ability to easily sort and search common information without involving long tables.

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11.7 COMMON FIELDS IN THE ORGANIZATION SUB-TABLES

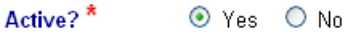
A. The purpose of this section is to outline the fields that will be common to all of the ORGANIZATION sub-tables.

> The subsequent discussions of each of the Organization sub-tables will not address those fields that are included in this section.

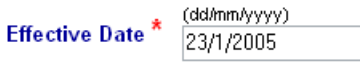
B. The common fields are—

- **Organization Number.** This field is defaulted to auto-fill from the Organization Primary Record data entry form. This number is unique to the organization. It is the method used to connect all PEL database records for all subsequent archival, viewing, searching, editing and reporting functions.

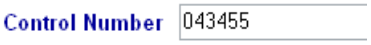
- **Organization Name**. This field is defaulted to auto-fill from the Organization Primary Record data entry form. This field provides viewing and searching references to ensure that the correct sub-table record is being consulted.
- **Organization Identifier**. Because organizations may engage in more that one aviation line of business that requires a separate certificate or license issued by the CAA, an organization identifier is assigned to each of those documents. This field is included throughout the Organization database to ensure that any approvals are related to the pertinent certificates. This field is a drop-down menu that takes its information from the CAA Action database. For that reason, it will be necessary to ensure that the applicable organization identifier has already been assigned before making entries in the ORG database.
- **Active?** This field is defaulted to show the record as "active." It provides the flexibility to identify easily those records that are still considered "active" by the CAA personnel. It is used by the database to provide for selective viewing and reporting of records. This field is the key to the ease of archival of the database records. In most cases, the deactivation is accomplished by simply clicking on the 'No" radial button.



- **Effective Date**. This field is defaulted to auto-fill the date the record is entered into the database. It should be revised by the user if the actual effective date was prior to, or will occur at, some future date.



- **Control Number.** This field (when used) is provided to record the actual Control number of the CAA Action record where the inspector's technical decision to approve, accept or authorize the document or procedure for use in aviation is located. It is intended to provide a method for researching the verifying basis for the record.



- **Revision Number.** This field (when it appears) is provided to allow the CAA to track the revision number of the document or approval granted. [Original = 0]

11.8 ENTERING ORG BUSINESS NAME AUTHORIZATIONS

The business names that the Organization is authorized to use while conducting certificated operations should be recorded in this sub-table.

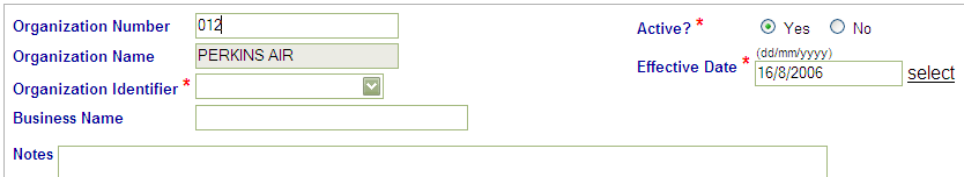
11.8.1 ENTRY PROCESS

The process of entering new Business Name information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "Business Names.

2) That selection will display the "Business Names" data entry form. Four fields should auto-fill—

ORG Business Name

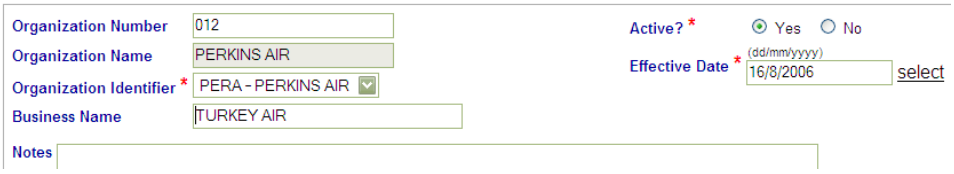


- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least two entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Enter a Business Name** in the free form entry field provided. *It is possible that an organization may actively have more than one authorized business name.*

ORG Business Name



11.8.2 SAVE, CHECK & EXIT THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the Business Names record counter indicates that there is one additional record showing in the counter.

11.8.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

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11.9 ENTERING THE ORG CERTIFICATES INFORMATION

A. The ORGANIZATION CERTIFICATES sub-table would be the most logical place to begin the entry of an organization.

B. This sub-table allows the CAA to separately track and access current and historical information regarding the certificate approvals that are issued to the Organization.

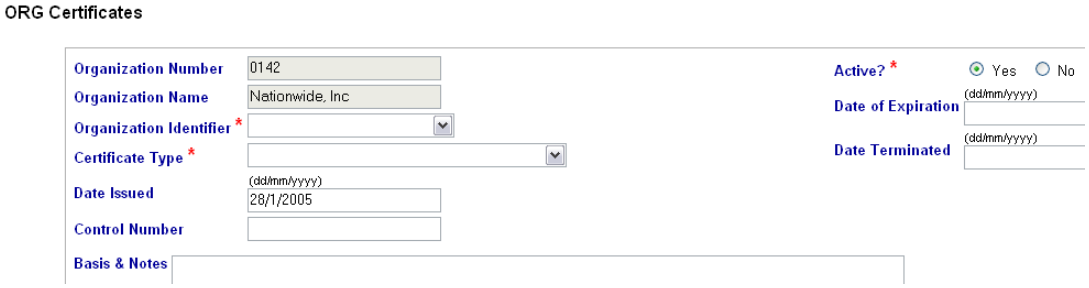
> Each organization must have at least one assigned organization identifier that will be associated with the specific approvals issued to that organization.

11.9.1 ENTRY PROCESS

The process of entering ORG Certificate information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "ORG Certificates.

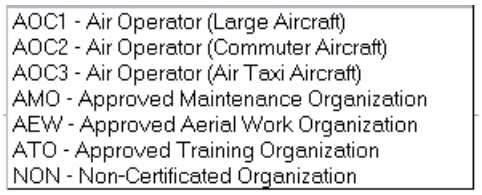
2) That selection will display the "Org Certificates" data entry form. Four fields should auto-fill—



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least two entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select a Certificate Type** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively hold more than one or all of these types of certificates.*


AOC1 - Air Operator (Large Aircraft)
AOC2 - Air Operator (Commuter Aircraft)
AOC3 - Air Operator (Air Taxi Aircraft)
AMO - Approved Maintenance Organization
AEW - Approved Aerial Work Organization
ATO - Approved Training Organization
NON - Non-Certificated Organization

4) The user should make entries in the remaining fields as directed by the CAA.

> The "Basis and Memos" is a field which allows the user to make informational notes that are retained in the database.

11.9.2 SAVE, CHECK & EXIT THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the Org Certificates record counter indicates that there is one record attached to this organization number.

11.9.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.10 ENTERING THE ORG BASE LOCATIONS SUB-TABLE INFORMATION

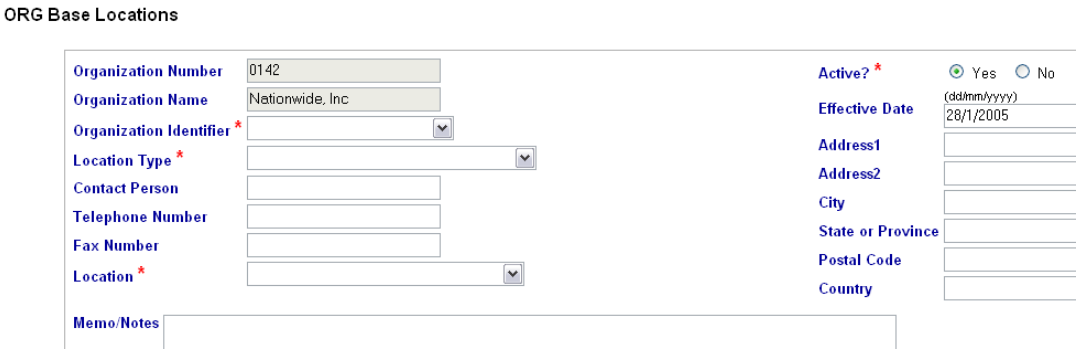
All of the organization's BASE LOCATIONS should be entered in this sub-table. This information will provide all inspectors the location of bases and records used by the Organization and the appropriate contact persons for further information. This sub-table provides the current (and historical) information for all aviation organizations that are under the safety oversight of the CAA.

11.10.1 ENTRY PROCESS

A. The process of entering ORG Base Locations information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "ORG Base Locations."

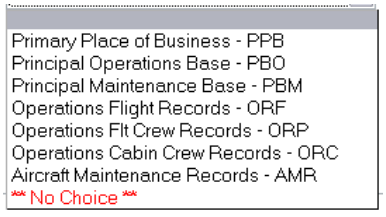
2) That selection will display the "ORG Base Locations" data entry form. Four fields should auto-fill—"



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least three entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select a Location Type** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these locations.*
- **Select a Location Identifier** from the drop-down menu provided.


Primary Place of Business - PPB
Principal Operations Base - PBO
Principal Maintenance Base - PBM
Operations Flight Records - ORF
Operations Flt Crew Records - ORP
Operations Cabin Crew Records - ORC
Aircraft Maintenance Records - AMR
** No Choice **

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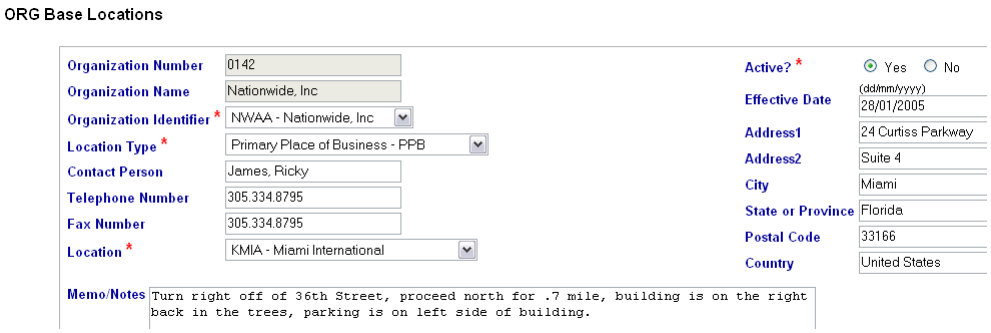
4) The user should make entries in the remaining fields as directed by the CAA.



11.10.2 SAVE, CHECK & LEAVE THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the Base Location record counter indicates that there is one record attached to this organization number

11.10.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.11 ENTERING THE ORG MANAGEMENT CONTACT INFORMATION

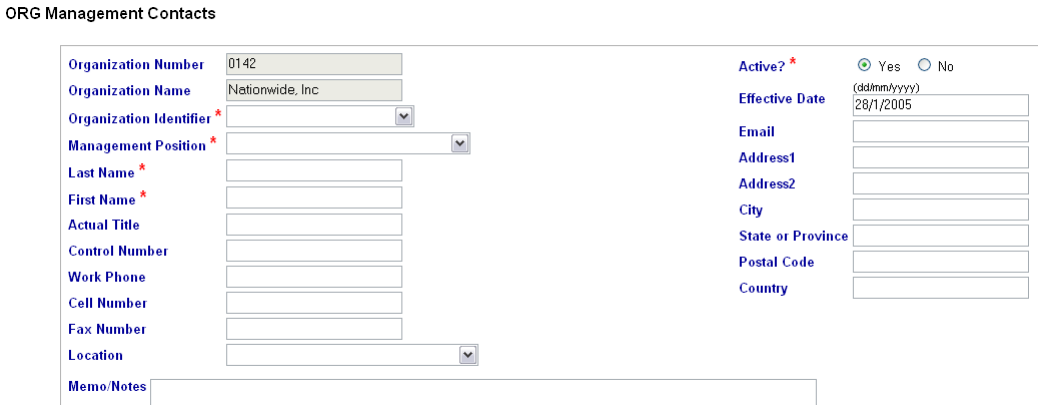
The Organization's MANAGEMENT CONTACTS should be entered in this sub-table. This information will provide all inspectors the current (and historical) records of the key management personnel of the Organization.

11.11.1 ENTRY PROCESS

The process of entering ORG Management Contacts information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "ORG Management Contacts."

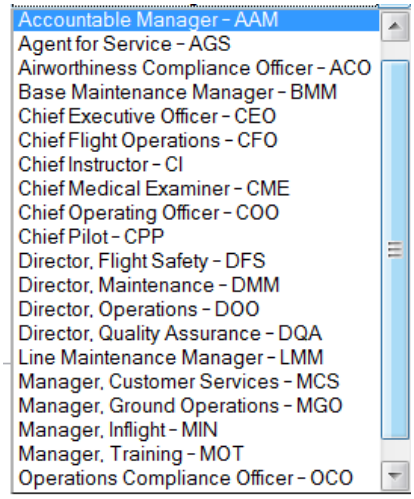
2) That selection will display the "ORG Management Contacts" data entry form. Four fields should auto-fill—"



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least four entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select a Management Position** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these management positions.*
- **Enter a Last Name** for the person.
- **Enter a First Name** for the person.


Accountable Manager - AAM
Agent for Service - AGS
Airworthiness Compliance Officer - ACO
Base Maintenance Manager - BMM
Chief Executive Officer - CEO
Chief Flight Operations - CFO
Chief Instructor - CI
Chief Medical Examiner - CME
Chief Operating Officer - COO
Chief Pilot - CPP
Director, Flight Safety - DFS
Director, Maintenance - DMM
Director, Operations - DOO
Director, Quality Assurance - DQA
Line Maintenance Manager - LMM
Manager, Customer Services - MCS
Manager, Ground Operations - MGO
Manager, Inflight - MIN
Manager, Training - MOT
Operations Compliance Officer - OCO

4) The user should make entries in the remaining fields as directed by the CAA.

- The "Control Number" field is provided on this data entry page to enter the number of the verifying CAA Action record that shows this person was acceptable to the CAA for the position as required by regulation.

Entering the Control Number provides for a cross-check of CAA approval records.

11.11.2 SAVE, CHECK & LEAVE THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

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2) Notice that the Management Contacts record counter indicates that there is one management contact record attached to this aircraft serial number.

11.11.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.12 ENTERING THE ORG CAA CONTACT INFORMATION

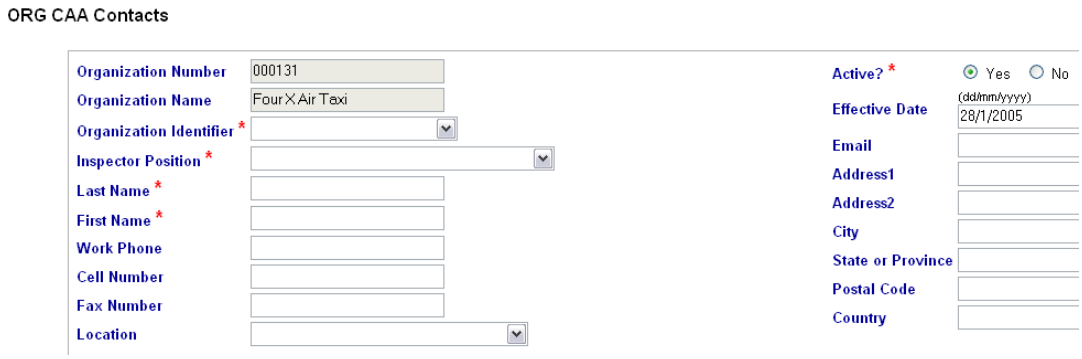
The organization's CAA CONTACTS should be entered in this sub-table. This information will provide the names of the CAA persons currently assigned to certificate, inspect and investigate the specific Organization.

11.12.1 ENTRY PROCESS

The process of entering ORG CAA Contacts information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "ORG CAA Contacts."

2) That selection will display the "ORG CAA Contacts" data entry form. Four fields should auto-fill—"



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least four entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.

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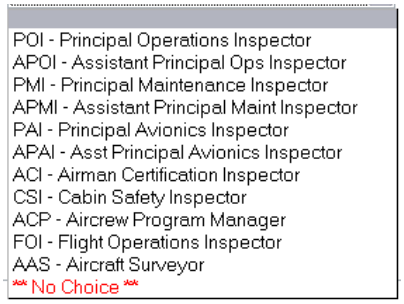
- **Select an Inspector Position** from the list provided by the drop-down menu that is displayed here. *An organization will always actively have more than one assigned inspector.*


POI - Principal Operations Inspector
APOI - Assistant Principal Ops Inspector
PMI - Principal Maintenance Inspector
APMI - Assistant Principal Maint Inspector
PAI - Principal Avionics Inspector
APAI - Asst Principal Avionics Inspector
ACI - Airman Certification Inspector
CSI - Cabin Safety Inspector
ACP - Aircrew Program Manager
FOI - Flight Operations Inspector
AAS - Aircraft Surveyor
** No Choice **

- **Enter a Last Name** for the person.
- **Enter a First Name** for the person.

4) The user should make entries in the remaining fields as directed by the CAA.

11.12.2 SAVE, CHECK & LEAVE THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the CAA Contacts record counter indicates that there is one management contact record attached to this aircraft serial number .

11.12.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.13 ENTERING THE EXEMPTIONS AUTHORIZATIONS

EXEMPTIONS and DEVIATIONS from regulatory requirements authorized by the CAA for the Organization should be recorded in this sub-table.

11.13.1 ENTRY PROCESS

The process of entering ORG Exemptions-Deviations information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label “ORG Exemptions.”

2) That selection will display the “ORG Exemptions” data entry form. Four fields should auto-fill—”

- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)

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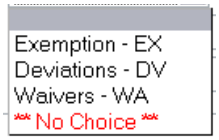
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least four entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select a Type (of Exemption)** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one exemption-deviation or waiver from specific regulations.*



- **Enter the number assigned to the exemption** by the CAA.
- **Enter the specific regulation section and sub-section** for which the exemption applies.

4) The user should make entries in the remaining fields as directed by the CAA.

- The "Control Number" field is provided on this data entry page to enter the number of the verifying CAA Action record that shows this exemption/deviation was acceptable to the CAA.

Entering the Control Number provides for a cross-check of CAA approval records.

11.13.2 SAVE, CHECK & LEAVE THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.
2) Notice that the Exemptions record counter indicates that there is one management contact record attached to this aircraft serial number.

11.13.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.14 ENTERING THE ORG AIRCRAFT LISTING AUTHORIZATIONS

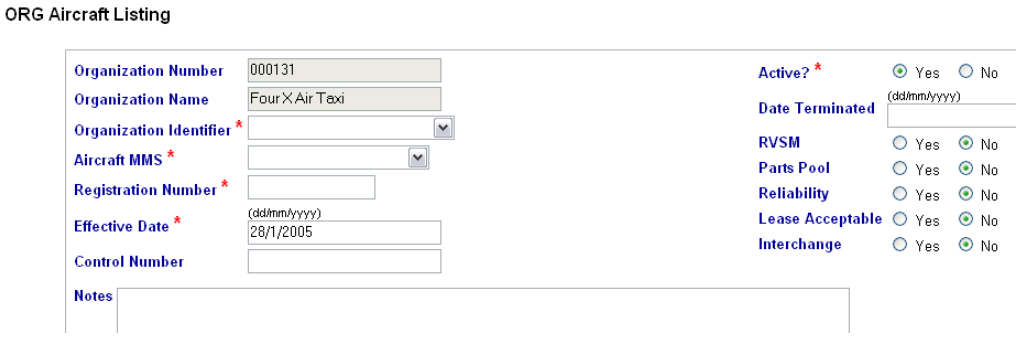
The AIRCRAFT LISTING sub-table provides the method for the CAA to track the current aircraft the Organization is authorized to operate.

11.14.1 ENTRY PROCESS

The process of entering ORG Aircraft Listing information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "ORG Aircraft Listing."

2) That selection will display the "ORG Aircraft Listing" data entry form. Four fields should auto-fill—"



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least four entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select the Aircraft MMS** from the drop-down menu provided.
- **Enter the aircraft's registration number**.

The radial button defaults to NO.

4) The user should make entries in the remaining fields as directed by the CAA.

- The "Control Number" field is provided on this data entry page to enter the number of the verifying CAA Action record that shows the entry of this aircraft on the listing was acceptable to the CAA.

Entering the Control Number provides for a cross-check of CAA approval records.

11.14.2 SAVE, CHECK & LEAVE THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the Aircraft Listing record counter indicates that there is one management contact record attached to this aircraft serial number.

11.14.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.15 ENTERING ORG POLICY MANUAL STATUS AUTHORIZATIONS

The organization's POLICY MANUAL acceptance status should be entered in this database. This will allow ease of checking the current acceptance status following inspections.

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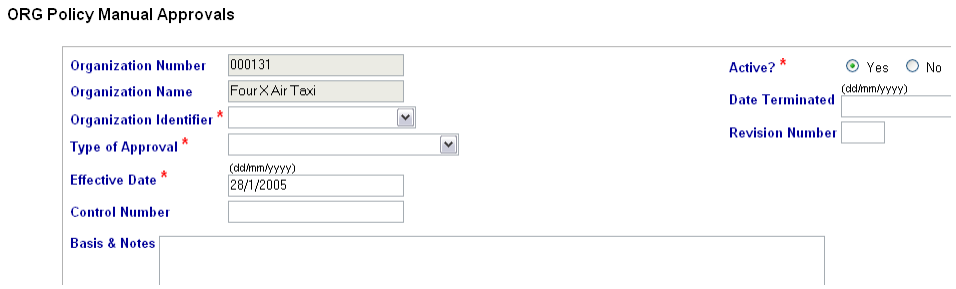
11.15.1 ENTRY PROCESS

The process of entering ORG Policy Manual Approvals information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "Policy Manual Status."

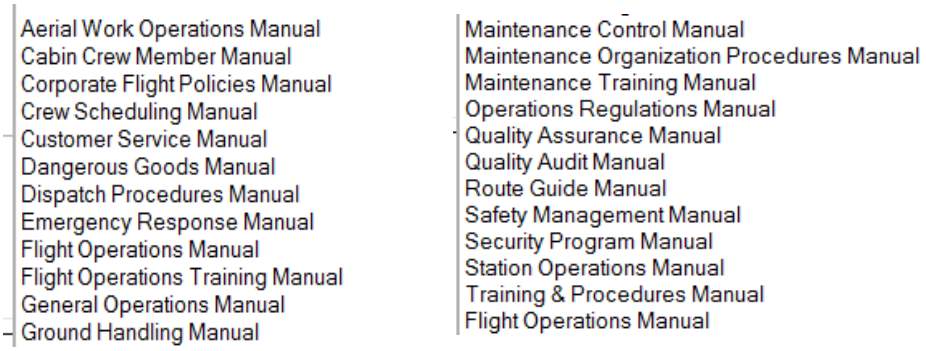
2) That selection will display the "Policy Manual Status" data entry form. Four fields should auto-fill—"



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least four entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select the Type of Manual** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these policy manual approvals.*



4) The user should make entries in the remaining fields as directed by the CAA.

- The "Control Number" field is provided on this data entry page to enter the number of the verifying CAA Action record that shows this manual and revision was acceptable to the CAA.

> Entering the Control Number provides for a cross-check of CAA approval records.

11.15.2 SAVE, CHECK & LEAVE THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.
2) Notice that the Policy Manuals status record counter indicates that there is one management contact record attached to this Organization.

11.15.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.16 ENTERING THE COMPLEXITY REVIEW INFORMATION

The COMPLEXITY REVIEW sub-table provides the method for tracking changes in the Organization's complexity. Recording this information as separate records on at least an annual basis will key the CAA to any major complexity changes.

11.16.1 ENTRY PROCESS

The process of entering ORG Complexity Review information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "Complexity Review."

2) That selection will display the "Complexity Review" data entry form. Four fields should auto-fill—

- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least four entries to save the record—

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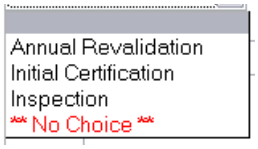
- **Select an Organization Identifier** from the drop-down menu provided.
- **Select the Purpose of the Review** provided by the drop-down menu that is displayed here.



4) The user should make entries in the remaining fields as directed by the CAA.

11.16.2 SAVE & CHECK THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the Complexity Review record counter indicates that there is one management contact record attached to this aircraft serial number.

11.16.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

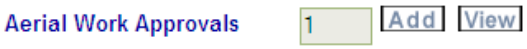
11.17 ENTERING AERIAL WORK APPROVALS

This sub-table provides the method for the CAA to record the current (and historical) aerial work authorizations that have been issued.

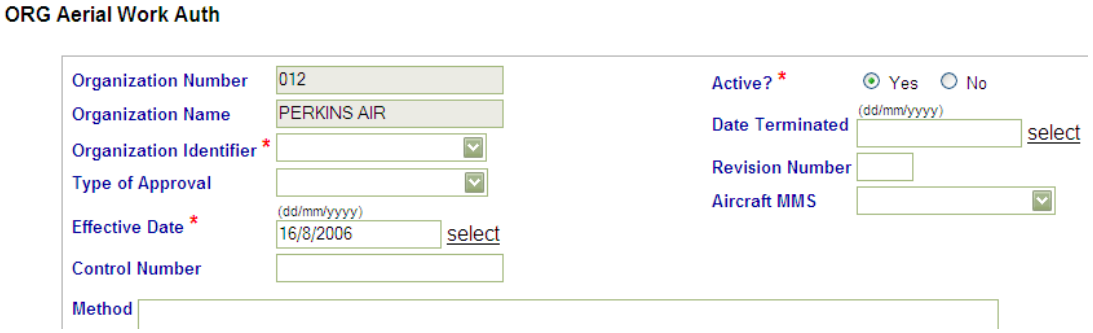
11.17.1 ENTRY PROCESS

The process of entering new Aerial Work Authorization information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "Aerial Work Approvals.



2) That selection will display the "Org Aerial Work Auth" data entry form. Four fields should auto-fill—



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

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3) The user must make at least two entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select a Type of Approval** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively hold more than one or all of these types of approvals.*

4) The user should make entries in the remaining fields as directed by the CAA.

- The "Control Number" field is provided on this data entry page to enter the number of the verifying CAA Action record that shows this authorization and revision was acceptable to the CAA.

11.17.2 SAVE, CHECK & EXIT THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.
2) Notice that the Aerial Work Approvals record counter indicates that there is one record attached to this organization number.

11.17.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.18 ENTERING THE NON-CERTIFICATED ORGANIZATION INFORMATION

If the organization conducts activities that are not certificated by the CAA, those activities should be recorded in the NON-CERTIFICATED OPERATIONS sub table in order to have a complete picture of the extent of their operations.

11.18.1 ENTRY PROCESS

The process of entering Non-Certificated Organization information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "Non-Certificated Organization."

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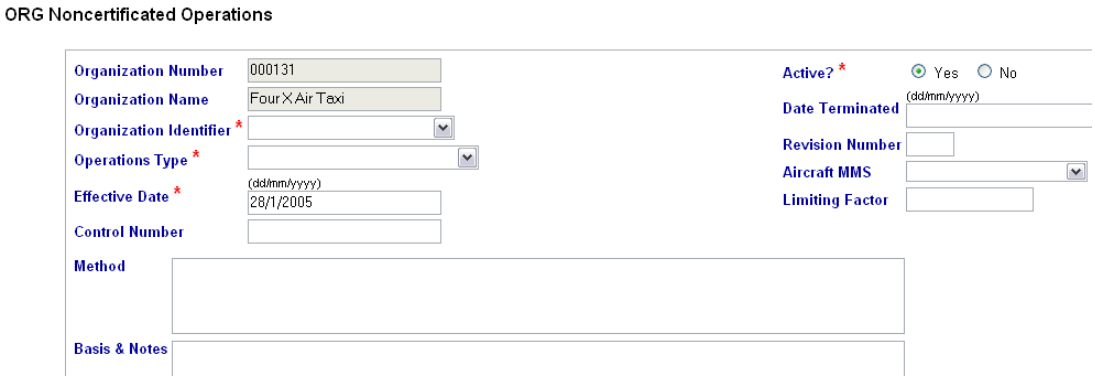
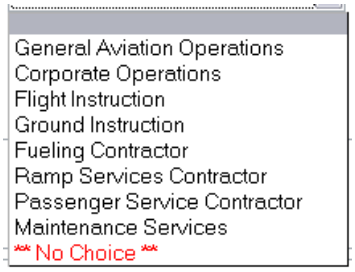
2) That selection will display the "Non-Certificated Organization" data entry form. Four fields should auto-fill—



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least two entries to save the record—



- **Select an Organization Identifier** from the drop-down menu provided.
- **Select the Operations Type** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these policy manual approvals.*

4) The user should make entries in the remaining fields as directed by the CAA.

11.18.2 SAVE & CHECK THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the Non-Certificated Operations record counter indicates that there is one management contact record attached to this aircraft serial number.

11.18.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.19 ENTERING THE AOC OPERATIONS (GENERAL) AUTHORIZATIONS

This sub-table provides the records of the AOC operations authorizations issued to the Organization that do not fall into any other specific grouping of approvals. Those general operations should be recorded in this sub-table.

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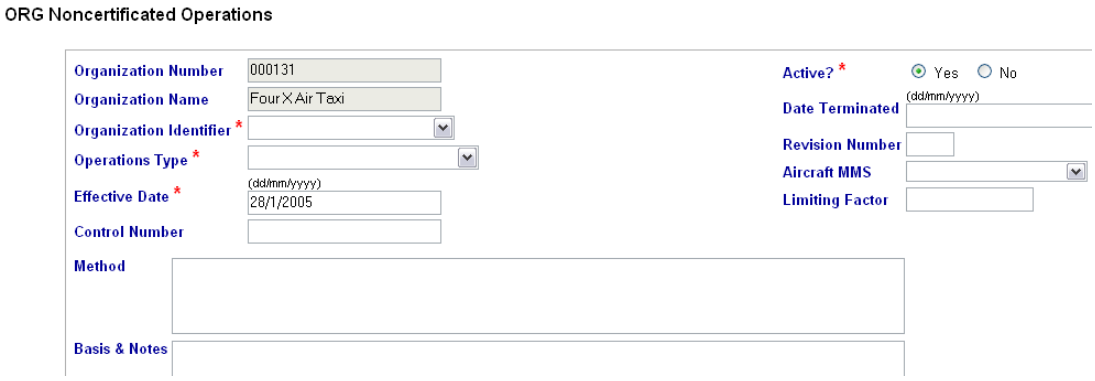
11.19.1 ENTRY PROCESS

The process of entering AOC Operations (General) information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "AOC Operations (General)."

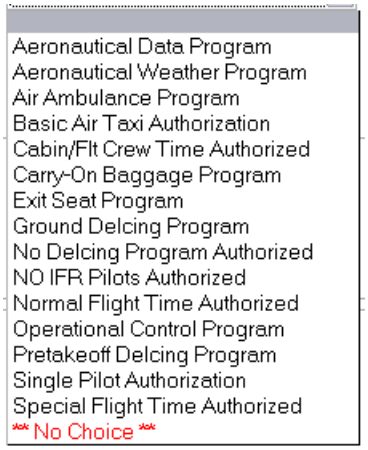
2) That selection will display the "AOC Operations (General)" data entry form. Four fields should auto-fill—



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least two entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select the Operations Type** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these policy manual approvals.*



4) The user should make entries in the remaining fields as directed by the CAA.

11.19.2 SAVE & CHECK THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

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2) Notice that the AOC Operations (General) record counter indicates that there is one management contact record attached to this aircraft serial number.

11.19.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.20 ENTERING THE AOC (FLIGHT OPS) APPROVALS INFORMATION

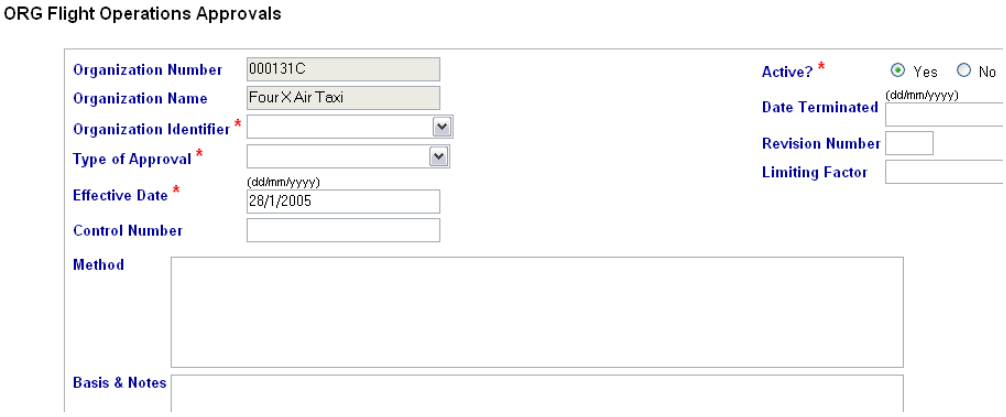
This grouping of approvals are those that apply to the overall flight operations (not those associated with a particular fleet of aircraft) conducted by the Organization.

11.20.1 ENTRY PROCESS

The process of entering AOC Approvals (Flight Operations) information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "AOC Approvals (Flight Ops)".

2) That selection will display the "AOC Approvals (Flight Ops)" data entry form. Four fields should auto-fill—



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

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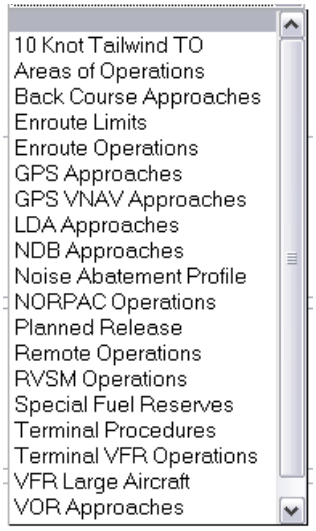
3) The user must make at least two entries to save the record—

   - **Select an Organization Identifier** from the drop-down menu provided.
   - **Select the Type of Approval** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these policy manual approvals.*



4) The user should make entries in the remaining fields as directed by the CAA.

11.20.2 SAVE & CHECK THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the AOC Approvals (Flight Ops) record counter indicates that there is one management contact record attached to this aircraft serial number.

11.20.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.21 ENTERING THE AOC APPROVALS (OPS FLEET) INFORMATION

Those operations approvals that are applicable only to a specific aircraft type operated by an AOC holder should be entered in this sub-table.

11.21.1 ENTRY PROCESS

The process of entering AOC Approvals (Ops Fleet) information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label “AOC Approvals (Ops Fleet).”

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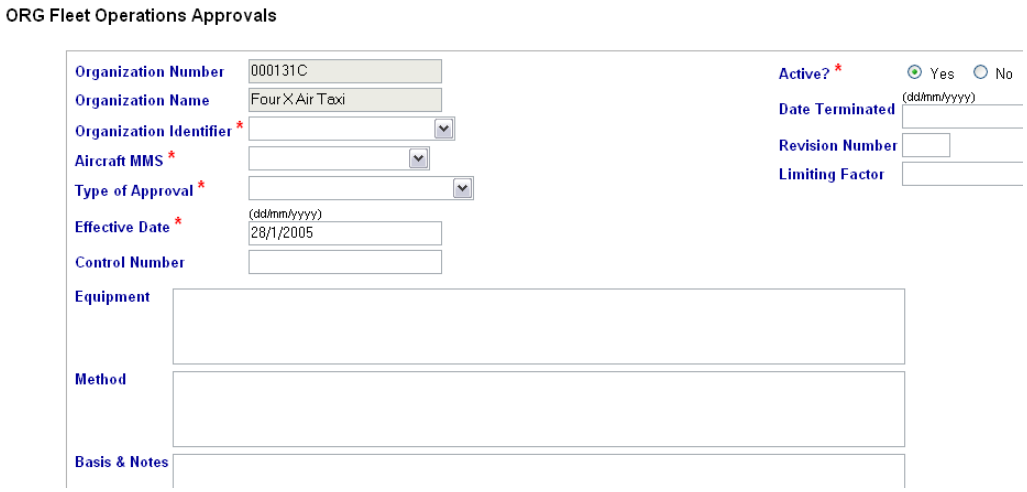
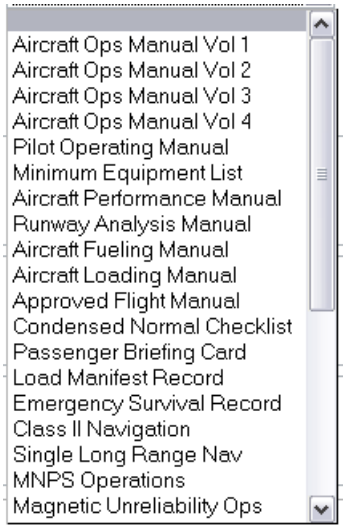
2) That selection will display the "AOC Approvals (Ops Fleet)" data entry form. Four fields should auto-fill—



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least three additional entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select the Type of Approval** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these policy manual approvals.*
- **Select the applicable Aircraft MMS** from the drop-down menu provided.



4) The user should make entries in the remaining fields as directed by the CAA.

11.21.2 SAVE & CHECK THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the AOC Approvals (Ops Fleet) record counter indicates that there is one management contact record attached to this aircraft serial number.

11.21.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.22 ENTERING THE AOC APPROVALS (MAINT FLEET) INFORMATION

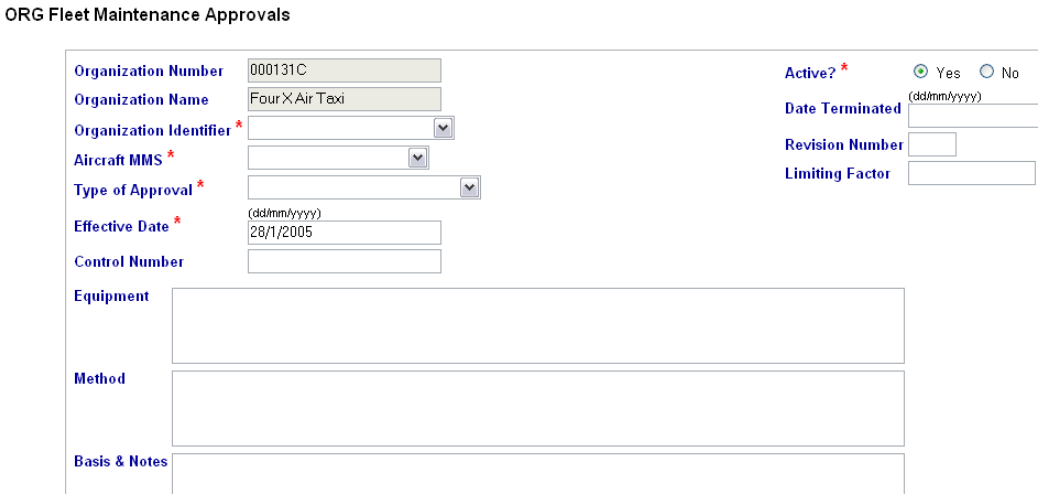
Those maintenance approvals that are applicable only to a specific aircraft type operated by an AOC holder should be entered in this sub-table.

11.22.1 ENTRY PROCESS

The process of entering AOC Approvals (Maint Fleet) information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "AOC Approvals (Maint Fleet)."

2) That selection will display the "AOC Approvals (Maint Fleet)" data entry form. Four fields should auto-fill—



- Organization Number (auto-filled with the serial number from the ORG Primary Record)

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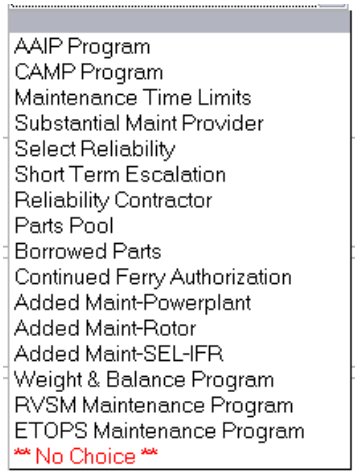
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes



3) The user must make at least three additional entries to save the record—
   - **Select an Organization Identifier** from the drop-down menu provided.
   - **Select the Type of Approval** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these policy manual approvals.*
   - **Select the applicable Aircraft MMS** from the drop-down menu provided.
4) The user should make entries in the remaining fields as directed by the CAA.

11.22.2 SAVE & CHECK THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.
2) Notice that the AOC Approvals (Maint Fleet) record counter indicates that there is one management contact record attached to this aircraft serial number.

11.22.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.23 ENTERING THE AOC APPROVALS (AIRPORTS) INFORMATION

Those approvals given to an AOC holder that are applicable only to a specific airport or station should be entered in this sub-table.

11.23.1 ENTRY PROCESS

The process of entering AOC Approvals (Airports) information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label “AOC Approvals (Airports).”

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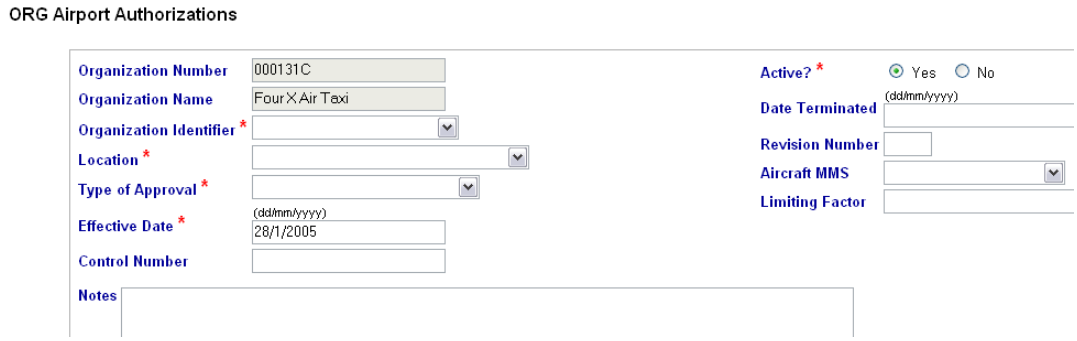
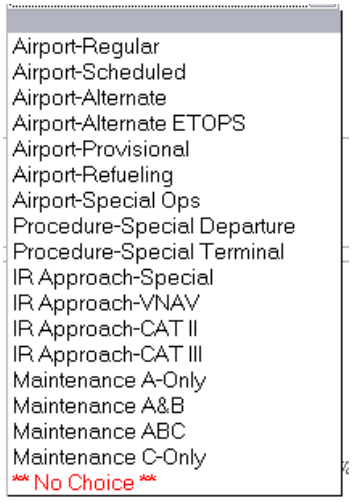
2) That selection will display the "AOC Approvals (Airports)" data entry form. Four fields should auto-fill—



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least three additional entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select the Location** (Airport)
- **Select the Type of Approval** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these policy manual approvals.*



4) The user should make entries in the remaining fields as directed by the CAA.

11.23.2 SAVE & CHECK THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the AOC Approvals (Airports) record counter indicates that there is one management contact record attached to this aircraft serial number.

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11.23.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

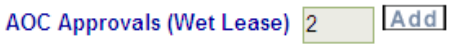
11.24 ENTERING AOC LEASING ARRANGEMENTS

This sub-table provides the method for the CAA to record and track the authorizations that have been issued to an Aviation Organization to engage in operations involving the wet lease of aircraft.

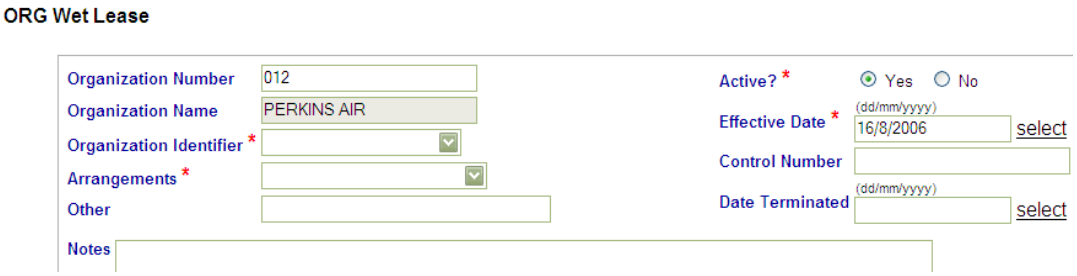
11.24.1 ENTRY PROCESS

The process of entering Wet Lease Arrangements information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "AOC Approvals (Wet Lease)."



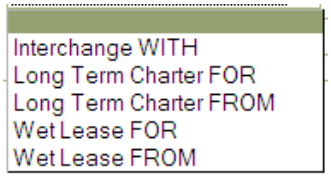
2) That selection will display the "Org Wet Lease" data entry form. Four fields should auto-fill—



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least two entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select the Arrangements** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have one or more of all of these types of arrangements.*



4) The user should make entries in the remaining fields as directed by the CAA.

11.24.2 SAVE & CHECK THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the Wet Lease Approvals record counter indicates that there is one record attached to this organization number.

11.24.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.25 ENTERING THE AOC CONTRACTED SERVICES INFORMATION

This general grouping should contain the CAA's understanding of the contracted services presently used by the AOC holder.

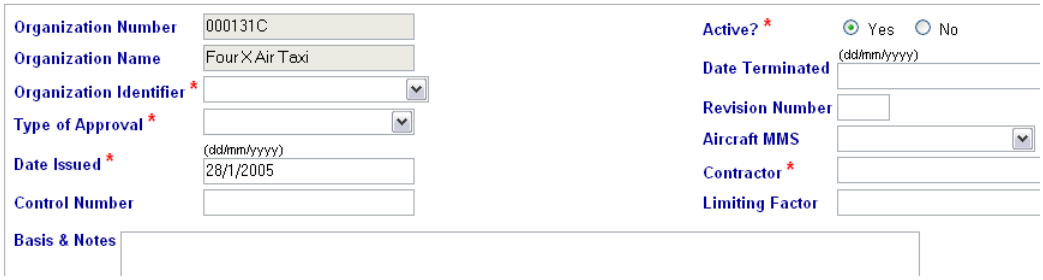
11.25.1 ENTRY PROCESS

The process of entering AOC Contracted Services information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "AOC Contracted Services."

2) That selection will display the "AOC Contracted Services" data entry form. Four fields should auto-fill—

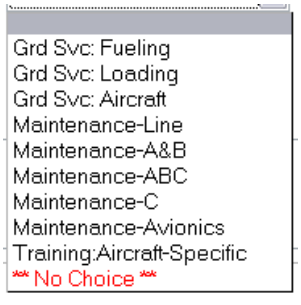
ORG Contracted Services



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least three additional entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select the Location** (Airport)
- **Select the Type of Approval** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these policy manual approvals.*



4) The user should make entries in the remaining fields as directed by the CAA.

11.25.2 SAVE & CHECK THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

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1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the AOC Contracted Services record counter indicates that there is one management contact record attached to this aircraft serial number.

11.25.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.26 ENTERING THE AMO APPROVALS INFORMATION

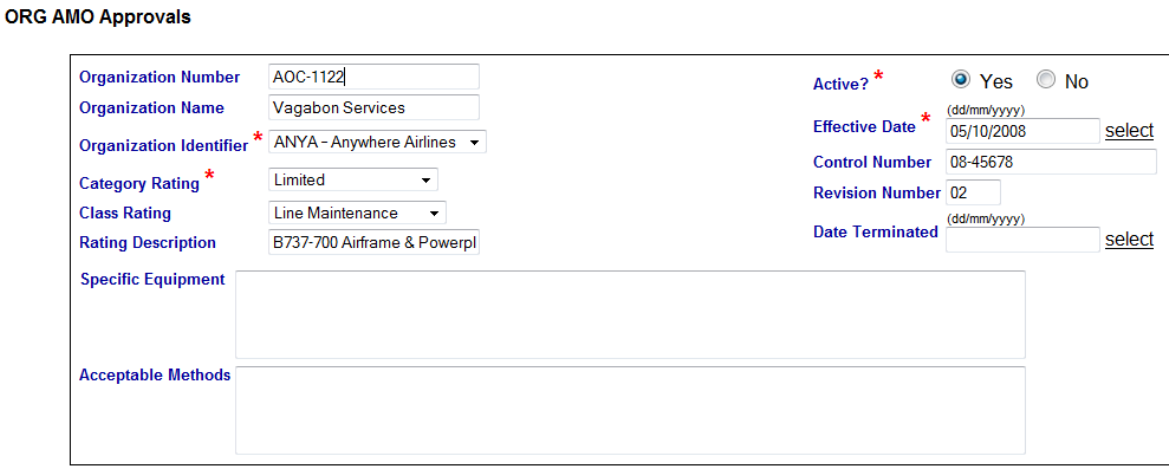
All AMO Approvals issued by the CAA to the Organization should be recorded in this sub-table.

11.26.1 ENTRY PROCESS

The process of entering AMO Approvals information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label "AMO Approvals."

2) That selection will display the "AMO Approvals" data entry form. Four fields should auto-fill—



- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least three additional entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.

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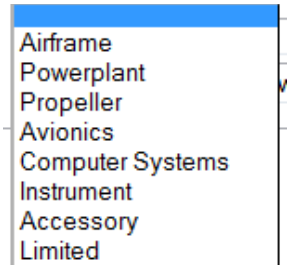
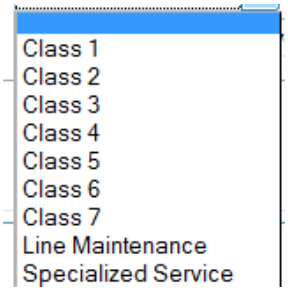
- **Select the Category Rating** from the drop-down menu provided.



- **Select the Class Rating** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these approvals.*



4) The user should make entries in the remaining fields as directed by the CAA.

11.26.2 SAVE & CHECK THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.
2) Notice that the AOC Contracted Services record counter indicates that there is one management contact record attached to this aircraft serial number.

11.26.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.27 ENTERING THE ATO APPROVALS INFORMATION

All ATO Approvals issued by the CAA to the Organization should be entered in this sub-table.

11.27.1 ENTRY PROCESS

The process of entering ATO Approvals information is as follows—

1) From the *Organization Primary Record* data entry page for the specific organization number, select the ADD button to the right of the label “ATO Approvals.”

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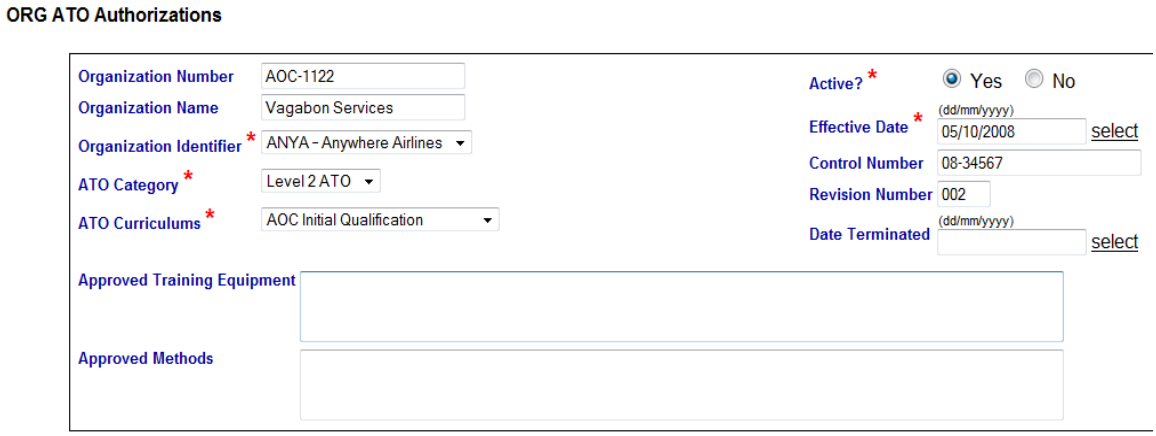
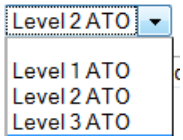
2) That selection will display the "ATO Approvals" data entry form. Four fields should auto-fill—



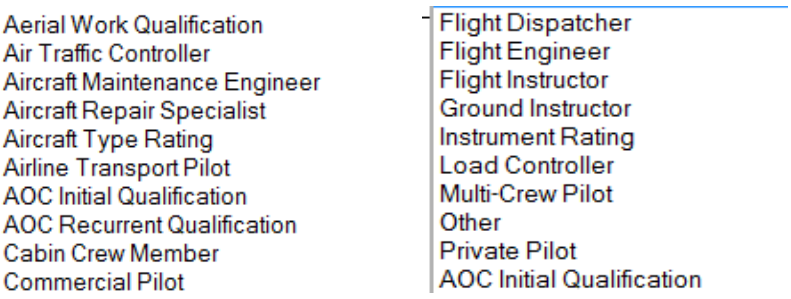
- Organization Number (auto-filled with the serial number from the ORG Primary Record)
- Organization Name (auto-filled with the Org name in the ORG Primary Record)
- Effective Date (defaulted to current date - may be modified to a different date)
- Active?=Yes

3) The user must make at least three additional entries to save the record—

- **Select an Organization Identifier** from the drop-down menu provided.
- **Select the ATO Category** from the drop-down list



- **Select the ATO Curriculums** from the list provided by the drop-down menu that is displayed here. *It is possible that an organization may actively have more than one or all of these approvals.*



4) The user should make entries in the remaining fields as directed by the CAA.

11.27.2 SAVE & CHECK THE RECORD

When these entries are completed, the user should select the ***Save & Attach.***

1) This action will bring the user back to the ORG Primary Record data entry page.

2) Notice that the ATO Approvals record counter indicates that there is one management contact record attached to this aircraft serial number.

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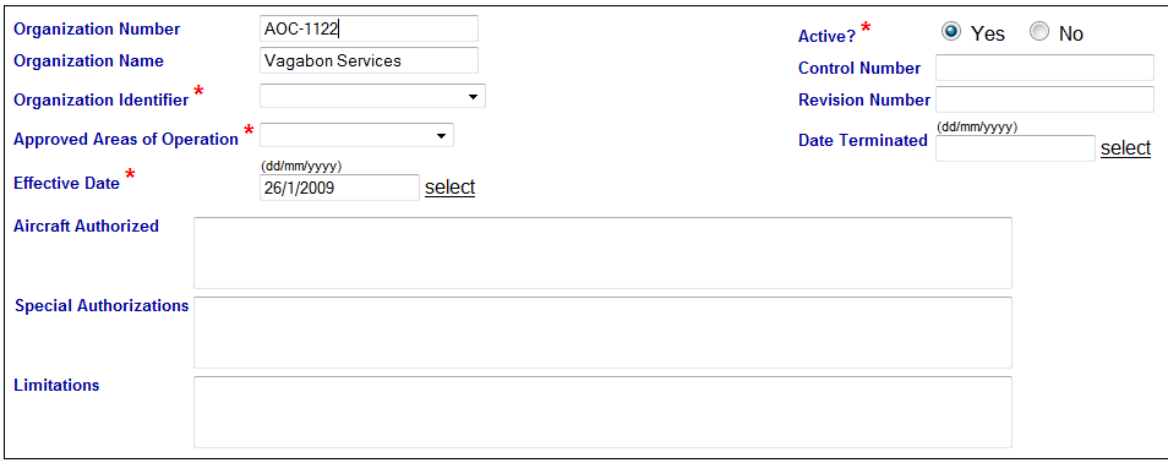
11.27.3 DEACTIVATE OUT-DATED RECORDS

When completing a record, it is a good practice upon exiting to VIEW the applicable sub-table records for the Organization to check for any records that might be out-dated by the new record.

11.28 AOC APPROVALS (AREAS)

DECEMBER 2008 ENHANCEMENT - Instructions To Be Developed

ORG AOC Approvals Areas



11.29 AOC APPROVALS (ROUTES)

DECEMBER 2008 ENHANCEMENT - Instructions To Be Developed

ORG AOC Approvals Routes

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11.30 MAINTENANCE ARRANGEMENTS

DECEMBER 2008 ENHANCEMENT - Instructions To Be Developed

ORG AOC Maintenance Arrangements

11.31 TRAINING ARRANGEMENTS

DECEMBER 2008 ENHANCEMENT - Instructions To Be Developed

ORG AOC Training Arrangements

11.32 APPROVALS (SIMULATORS)

DECEMBER 2008 ENHANCEMENT - Instructions To Be Developed

ORG AOC Approved Simulators

End of Chapter

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Chapter 12
CAA Personnel Qualification

This chapter outlines the policies and procedures for accessing and entering data in the CAA employee qualification database for —

- Primary CAA Employee Qualification Record
- Employee Position Qualification
- Employee Contact Records
- Employee Technical Licenses
- Employee Resume
- Employee Aircraft Qualification
- Employee Formal Training
- Employee OJT Training

- Guidance for Action entry of day-to-day participation of inspectors in training events is located in Chapter 4.
- Guidance for uploading an employee training plan into the Action database is found in Chapter 6.
- Guidance for DQC dropdown menu entry for training courses and institutions is also located in Chapter 6.

12.1 QUALIFICATION RECORDS ARE CRITICAL TO CAA CREDIBILITY

A. One of the 8 critical elements of effective aviation safety oversight is the employment and qualification of technical inspectors.

B. It is very important from the beginning of employee's employment to have an organized method of tracking employee contact information, technical licenses, resumes, aircraft qualification, formal and OJT training.

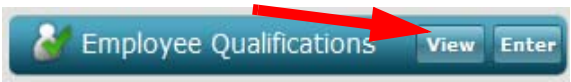
C. CASORT provides the capability to include those records in the database, both on a day-to-day participation basis and to record the individual training completions. (The authors recommend that an inspector's records also be printed out and included in a hard-copy qualification files as he progresses through his training.

D. Up-to-date hard copy records (and digital records) can be very helpful in establishing an inspector's credibility for participation in technical safety matters, such as accident inquiry boards.

E. Having these records available for all inspectors in the CAA's employ greatly enhances the credibility of the CAA on occasion of audits by ICAO or other States in matters relating to aviation safety oversight.

12.2 ACCESSING CURRENT EMPLOYEE QUALIFICATION RECORD

To access a current employee record from the Home Page, move to the bottom left bar labed "Employee Qualifications. and—

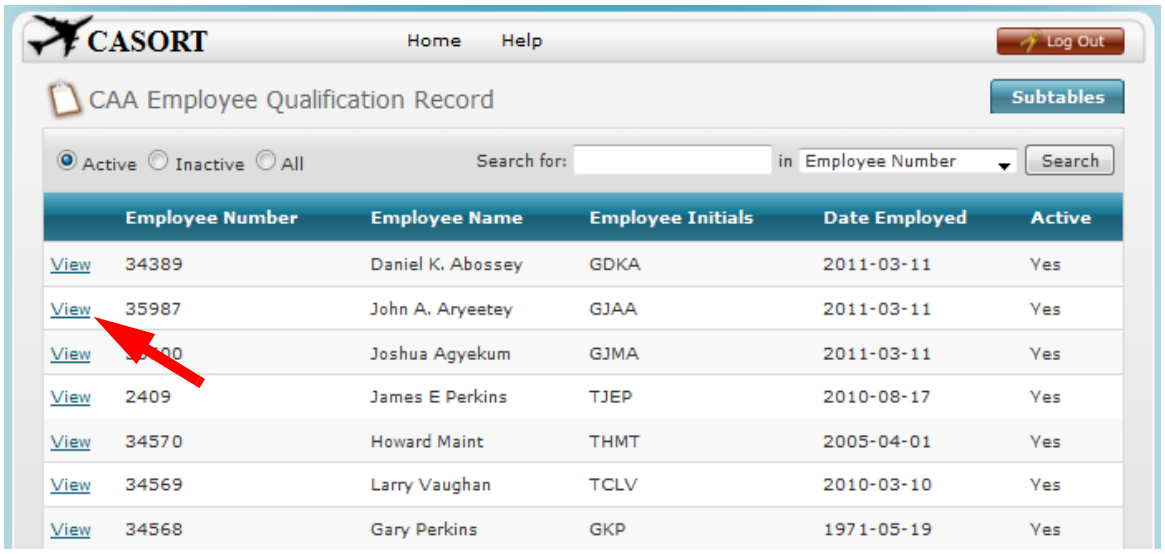


1) Select ***View;***

2) That action will display the listing of ALL employee qualification records;

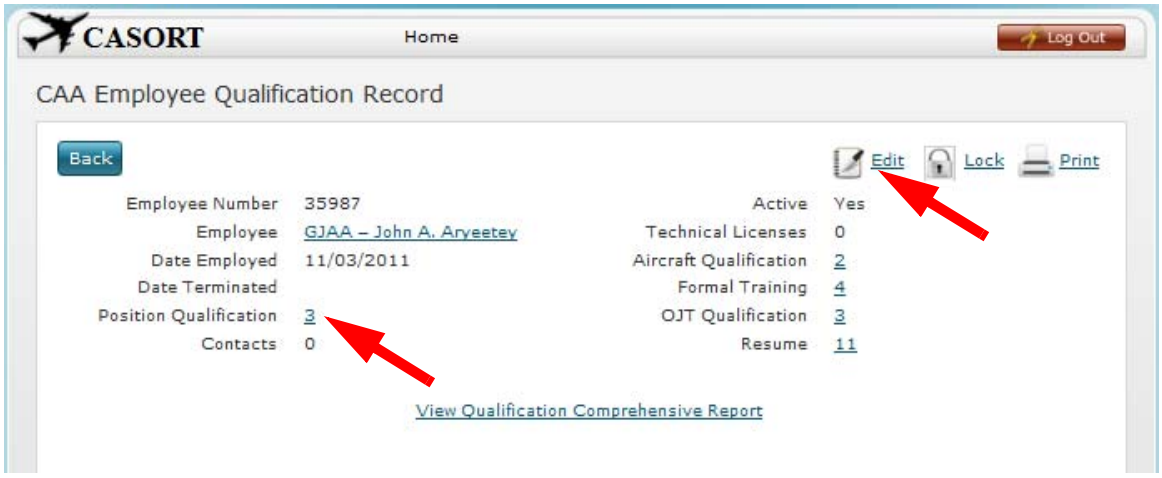
   ♦ The list is defaulted to display the last record entered at the top of the list.

- The user can adjust this list by clicking on the header labels to make the list ascending or descending for that column.;



3) From the list, select the employee record that you would like to access by clicking on ***View*** (in the far left column);

4) That action will display the View screen for the related record;



5) The user may now take the following actions —

- To add new information to the Employee Record – select ***Edit*** – (top right corner) which will open the Primary record to enter new data in the Primary Record or its sub-tables.

Choose this action to add new sub-table information.

- To revise existing data to this – by placing the cursor on the ***underlined number*** to right of the appropriate sub-table and selecting that number.

Choose this action to edit sub-tables.

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- Select ***View Qualification Comprehensive Report*** – which will auto-fill this record number in preparation for extracting this report.

Choose this action to view and print a comprehensive report for this employee.

- Selecting ***Back*** will return the user to the listing of employees.

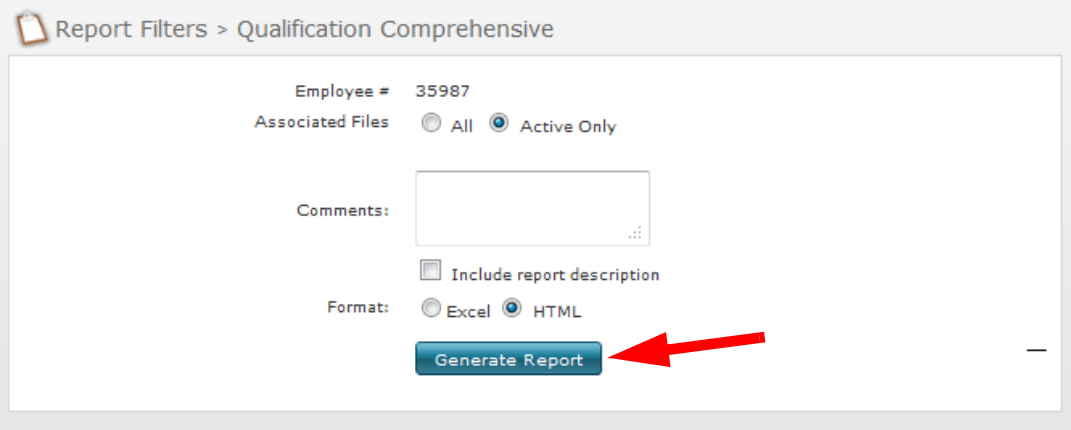
12.3 PRINTING THE QUALIFICATION COMPREHENSIVE REPORT

If the user would like to print a comprehensive report of this employee's qualification record, he should —

1) From the View page of the employee's qualification record, select link for ***View Qualification Comprehensive Report***;

View Qualification Comprehensive Report

2) That action will display the report filter page auto-filled with this employee's record number;
   - Note the record is defaulted to "Active Only," which would be the normal report select.
3) If the user purpose is to view the report, select ***Generate Report***;
   - The remainder of the possible selections on the view page are intended for preparation of formal reports. (*See Chapter 13 for preparation of formal reports*).



4) That action will display the comprehensive report in a separate web page

Qualification Comprehensive

CAA Employee Qualification Record

Active?	Employee #	Employee	Employed	Terminated
Yes	35987	GJAA – John A. Aryeetey	11/03/2011	

CAA Employee Position Qualification

Active?	Position	Effective Date	Expiration Date
Yes	Supervisory Licensing Officer	14/03/2011	

CAA Employee Resume

Active?	Begin	End	Employment/Experience
Yes	31/03/2010		Manager, Flight Operations Section; South Florida Flight Standards District Office, Federal Aviatio operation inspectors with scope of duties for all certificate management, evaluation, inspection and aerial work in the State of Florida.
Yes	31/03/2009	31/03/2010	Aircrew Program Manager; B757; South Florida Flight Standards District Office, Miramar, FL, Unite B757 PIC; then began duties supervising 10 B757 proficiency check airman, 15 B757 line check airm

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5) If a revision was made to the database record, print this current information and insert in employee hard-copy file.

- Discard the superceded hard-copy of the report from the employee's file.
- The HTML report will be adequate for on-going updating of the hard-copy file.
- Consider constructing an Excel report for formal presentation to international auditors.

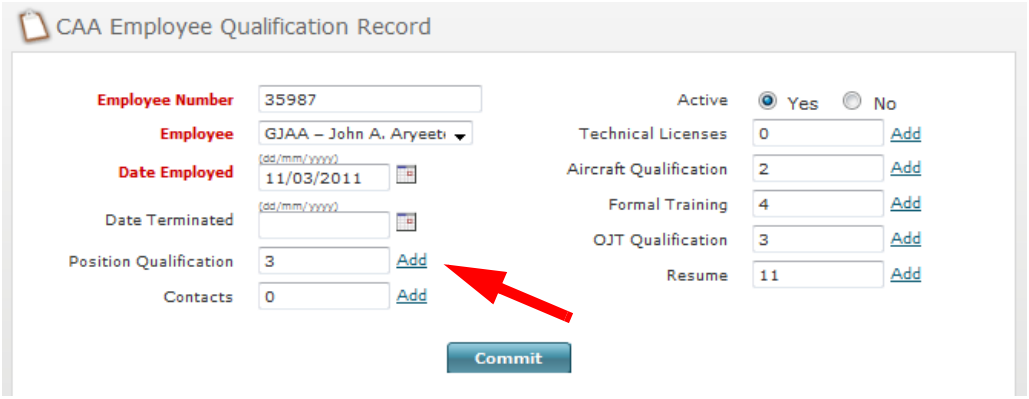
12.4 ADDING DATA TO AN EXISTING EMPLOYEE QUALIFICATION RECORD

To add data to an existing CAA Employee Qualification record —

1) From the Home Page, select ***View***;
2) That action will display the listing of employees; select the ***View*** for the specific record to access;
3) That action will display the View Page for the specific record, now - in the top right corner -select ***Edit***;

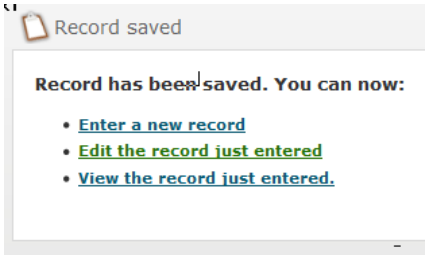
If the word - EDIT - does not appear in the top right corner, the user does not have Edit permissions for this record.

4) That action will display the employee record in the Entry mode.



5) The user may now *edit* the Primary Record or *add* new information to the sub-tables by selecting the ***ADD*** link to the right of the appropriate sub-table label.
6) This action will display the selected sub-table data entry form.
7) Complete that form in accordance with the guidance that is contained later in this chapter.
8) ***Save and Attach*** to the Primary Record;
9) ***GO*** to leave the Primary Record
10) This action will display the "Record Saved" links

- The user will choose ***Edit the record just entered*** if more information is to be added to the Employee's record,
- The user will choose ***View the record just entered*** to edit any of the information in the sub-tables to this record.


Record saved
Record has been saved. You can now:
Enter a new record
Edit the record just entered
View the record just entered.

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- The user should move the cursor to select the ***Home*** tab if all work is completed on this particular record.

12.5 ENTER A NEW CAA EMPLOYEE QUALIFICATION RECORD

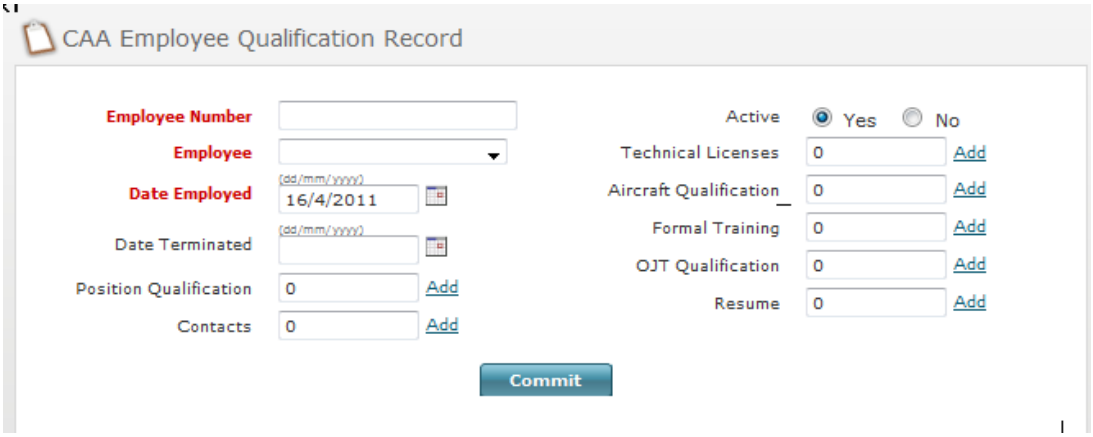
To enter a new CAA employee qualification record —

1) Check with the DatAdmin to ensure that the new employee has been entered as an authorized user of the CASORT databases;

> If the employee is not an authorized user of the database, their name will not appear in the "Employee" drop-down menu field.

2) If the employee has been entered as a user, from the Home Page, select ***Enter***;

3) That action will display the Primary Record entry form for the CAA Employee Qualification Record;



- The required fields to Save this record are shown with red labels.
- For consistency of data selection and retrieval, the employee number must rigidly conform to the protocol established by the CAA.

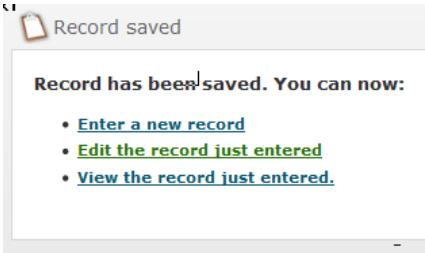
> The database creators recommend that this be a five digit number.

- The Date Employed field defaults to the current date. This must be changed if the actual date of hire was prior to the current date.

4) Complete the required entries and select ***GO;***

> Saving at regular intervals is a good practice when entering large amount of data.

5) This action will display the "Record Saved" links


Record saved
Record has been saved. You can now:
Enter a new record
Edit the record just entered
View the record just entered.

- The user will choose ***Edit the record just entered*** if more information is to be added to the Employee's record,
- The user should move the cursor to select the ***Home*** tab if all work is completed on this particular record.

6) The Primary Record is now prepared for the user to enter (ADD) data to the sub-tables of the CAA Employee Qualification Database.

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12.6 CAA EMPLOYEE POSITION QUALIFICATION

12.6.1 ENTERING NEW POSITION QUALIFICATION

A. CAA records should indicate which technical specialty and at what level the employee is authorized to perform.

- The employee may be qualified to perform in more than one techical specialty area or assignment
- The employee may be qualified at a different performance levels in these assignments.

B. This sub-table is located at the top of the sub-tables so that the current qualification will appear first in the comprehensive report of an employee's complete qualifications.

C. The default fields are —

- Employee number = employee number in Primary Record
- Employee name = employee name in Primary Record
- Effective date = current date
- Active = Yes

D. To complete this new record, the user must —

1) Select the employee's current technical specialty areas or assignments from the drop-down menu;

2) Ensure effective date is correct; and

3) Select ***Save and Attach*** to add this technical specialty record to the Primary Record of the employee.

The available choices in this menu are pre-set by the DatAdmin in consultation with AVSOG programmers.

12.6.2 VIEW THE COMPLETED POSITION QUALIFICATION RECORD

The completeted record should displayed on the View page similar to this example.

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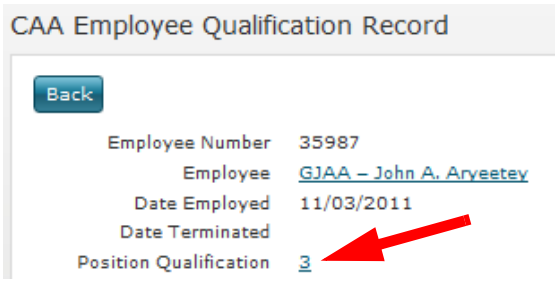
12.6.3 REVIEW CURRENCY OF ASSIGNMENTS

A. If this entry was an upgrade of technical qualification or a change of technical assignment, review this employee's list of active assignments by —

1) From the employes's Primary Record View Page, click on the underlined number to the right of the label "Position Qualification;"

2) That action will show the list of records for this employee

3) Review those records that are Active = Yes;



B. Those that have been superceded should be deactivated by —

1) Selecting the ***View*** link in the left column for that record;

2) That action display a View Page of the record; select ***Edit***;

3) That action displays the record for editing, select the radial button Active?=***No***;

4) Enter Date of Expiration;

5) Select ***GO*** to leave the revised record.

12.6.4 EXAMPLE EXCERPT OF REPORT OF POSITION QUALIFICATION

The following position qualification excerpt from a Qualification Comprehensive Report is provided for consideration of possible content—

CAA Employee Position Qualification

Active?	Position	Effective Date	Expiration Date
No	Apprentice Licensing Officer	30/03/2005	28/03/2007
No	Qualified Licensing Officer	18/03/2009	07/03/2011
Yes	Supervisory Licensing Officer	14/03/2011	

- Note the YES / NO in front of each listing. The report normally defaults to only Active=YES. The user may select ALL records before generating the report. In that case, even superceded historical data regarding the employee will be presented in the report..

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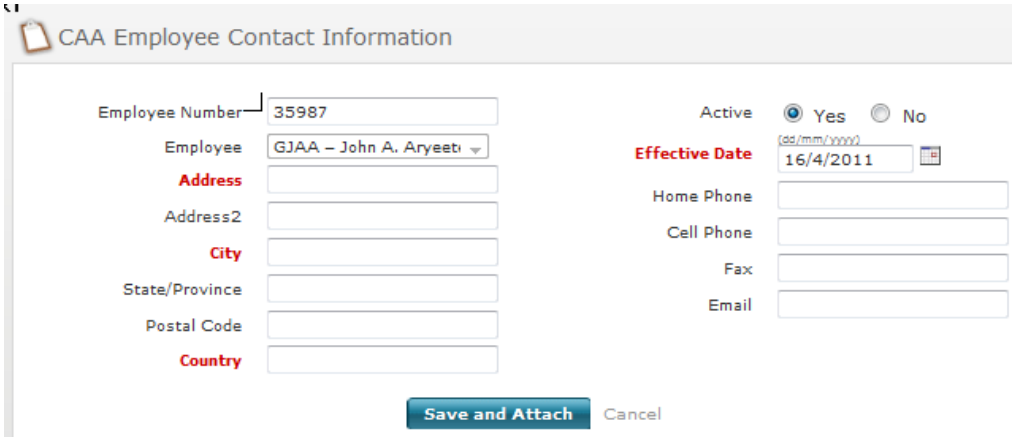
12.7 CAA EMPLOYEE CONTACT INFORMATION

12.7.1 ENTERING NEW EMPLOYEE CONTACT INFORMATION

A. CAA records should have the current contact information for the employee. This sub-table provides that capability.



B. The default fields are —

- Employee number = employee number in Primary Record
- Employee name = employee name in Primary Record
- Effective date = current date
- Active = Yes

C. To save this new record, the user must complete the required fields for —

1) Address;
2) City;
3) Country

D. Then complete at least the following fields —

1) Work phone number;
2) Home phone number;
3) Cell phone number; and
4) Email address.

E. Now select ***Save and Attach*** to add this record to the employee's Primary Record.

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12.7.2 VIEW THE COMPLETED EMPLOYEE CONTACT RECORD

The completeted record should displayed on the View page similar to this example.

12.7.3 REVIEW CURRENCY OF EMPLOYEE CONTACT INFORMATION

A. If the new contact information revises the old available information, check this employee's list of active contact records by —

1) From the employes's Primary Record View Page, click on the underlined number to the right of the label "Contact;"
2) That action will show the list of records (if there is more than 1 record) for this employee;
3) If there is more than record, check to see which record should be Active = Yes;

B. The Contact records that have been superceded should be deactivated by —

1) Selecting the ***View*** link in the left column for that record;
2) That action display a View Page of the record; select ***Edit***;
3) That action displays the record for editing, select the radial button Active?=***No***;
4) Select ***GO*** to deactivate that record.

If there is more than one Active?=YES contact information record, the old record should be deactivated.

12.7.4 EXAMPLE EXCERPT OF CONTACT INFORMATION REPORT

The following contact information excerpt from a Qualification Comprehensive Report is provided for consideration of possible content—

CAA Employee Contact Information

Active?	Address	City	Cell Phone	Home Phone	Email
Yes	P O. Box GP 13318	Accra	+233-204-362811	+233-277-477799	bowusu@gcaa.com.gh

12.8 CAA EMPLOYEE TECHNICAL LICENSES

12.8.1 GENERAL

A. The technical licenses that an employee has previously held or currently holds also is a factor in assessing his credibility for the perform of safety oversight tasks. Persons have to demonstrate a certain level of knowledge and/or skill in order to obtain these licenses.

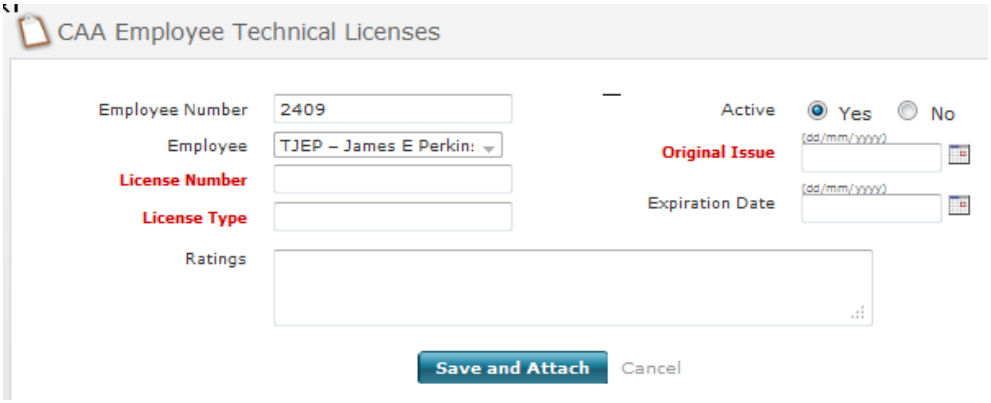
B. The best licences to include in this sub-table are PEL licenses issued by an ICAO Contracting State.

> Any license that can demonstrate a qualification for the safety oversight task should be included

C. Make sure to include State and international driver's licenses.

12.8.2 ENTERING A NEW TECHNICAL LICENSE RECORD

A. The entry form also includes ratings for most specific information on the privileges of the license.



B. The default fields are —

- Employee number = employee number in Primary Record
- Employee name = employee name in Primary Record
- Original Issue (date) = current date
- Active = Yes

C. To complete this new record, the user must —

1) Enter the license number;
2) Enter the License Type;
3) Enter the License Ratings (if the license has ratings)
4) Ensure Original Issue date is correct;
5) Enter the expiration date (even if it has been expired for years); and
6) Select ***Save and Return*** to add this technical license record to the Primary Record of the employee.

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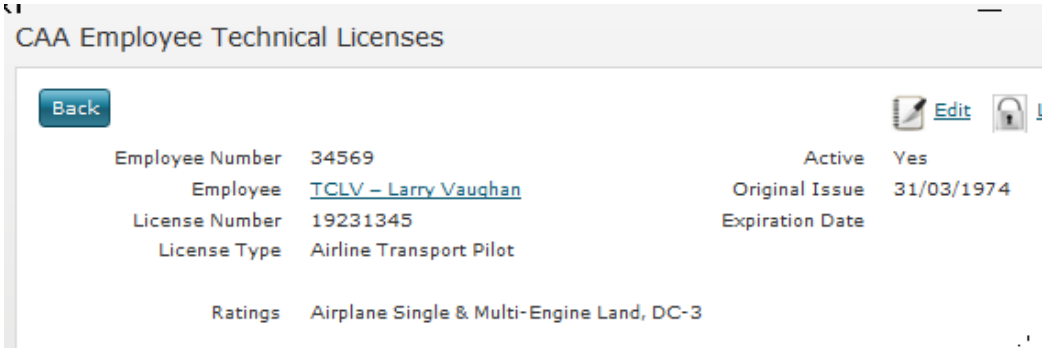
12.8.3 VIEW THE COMPLETED TECHNICAL LICENSE RECORD

The completeted record should displayed on the View page similar to this example.



12.8.4 REVIEW CURRENCY OF TECHNICAL LICENSE RECORDS

A. If this entry was a renewal or upgrade of the technical license, review this employee's list of Technical License records by —

1) From the employes's Primary Record View Page, click on the underlined number to the right of the label "Technical Licenses;"

2) That action will show the list of technical licenses records for this employee

3) Review those records that are Active = Yes to avoid repeats;

B. Those that have been superceded by the new record should be deactivated by —

1) Selecting the ***View*** link in the left column for that record;

2) That action display a View Page of the record; select ***Edit***;

3) That action displays the record for editing, select the radial button Active?=***No***;

4) Select ***GO*** to leave the revised record.

12.8.5 EXAMPLE EXCERPT OF TECHNICAL LICENSE REPORT

The following technical licenses excerpt from a Qualification Comprehensive Report is provided for consideration of possible content—

CAA Employee Technical Licenses

Active?	Date Issued	License	License #	Ratings
Yes	25/03/1981	Aircraft Mechanic	001530127	Mechanic Airframe; Powerplant
Yes	17/03/1971	Ground instructor	001530127	Ground Instructor Advanced / Instuments
Yes	15/10/1963	Airline Transport Pilot	001530127	Airline Transport Pilot Airplane Multiengine Land CV-240; CV-340; CV-440 Commercial Privileges Land and Sea; Rotorcraft / Helicopter
Yes	14/03/1962	Flight Instructor	001530127CFI	Flight Instructor Airplane Single and Multiengine; Instrument Airplane Rotorcraft / Helicopter

- Note that the report arranges the licenses ascending from earliest to latest issued license.

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12.9 CAA EMPLOYEE AIRCRAFT QUALIFICATION

12.9.1 GENERAL

A. Having employees with aircraft "qualifications" is a key component of a credible safety oversight program.

- CAAs must provide for their aviation safety inspectors initial and continuing training to maintain the capability to make technical conformance evaluations and inspections.

	If a new course, check with the DQC to determine that the course number, title and training institution are available in the training course drop-down menu

B. It is important in the building of an aviation safety inspector's qualification resume that it contain all significant aircraft qualification information, including the dates and qualification that was received —

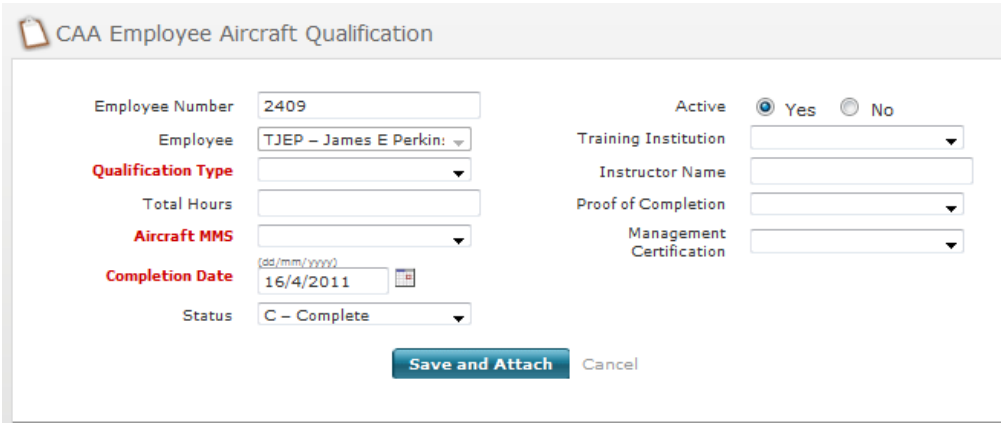
1) Before employment with the CAA; and

2) After employment with the CAA.

C. It also important that the CAA have a flight program to maintain "current and qualified" flight operations inspectors to make the necessary evaluations and inspections of operator training and checking personnel.

12.9.2 ENTERING NEW AIRCRAFT QUALIFICATION RECORD

A. The CAA Employee Aircraft Qualification sub-table provides for the collection and subsequent display of an employee's aircraft qualification in the Qualification Comprehensive Report.



B. The default fields are —

- Employee number = employee number in Primary Record
- Employee name = employee name in Primary Record
- Completion date = current date
- Active = Yes

C. To complete this new record, the user must —

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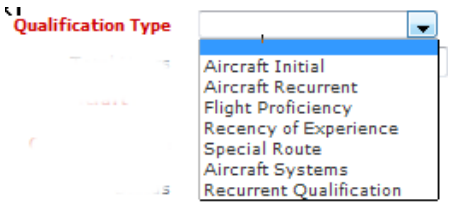
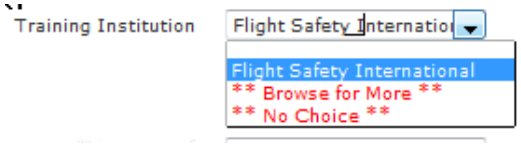
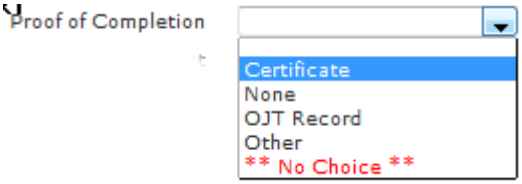
1) Enter the Qualification Type from the dropdown menu provided;



2) Enter the Total (Flight) Hours (leave blank if not flight hours;
3) Enter the Aircraft MMS from the dropdown menu provided;
4) Ensure that the Completion Date field has the correct date;
5) Enter the Training Institution from the dropdown menu provided;



6) Enter the Instructor's Names;
7) Enter the Proof of Completion is selected from the dropdown menu provided;



8) Enter the initials-name of the management person who verified the completion of this training from the dropdown menu provided.
9) Select ***Save and Attach*** to add this aircraft qualification record to the Primary Record of the employee.

12.9.3 NO SUPERCEDED DOCUMENT

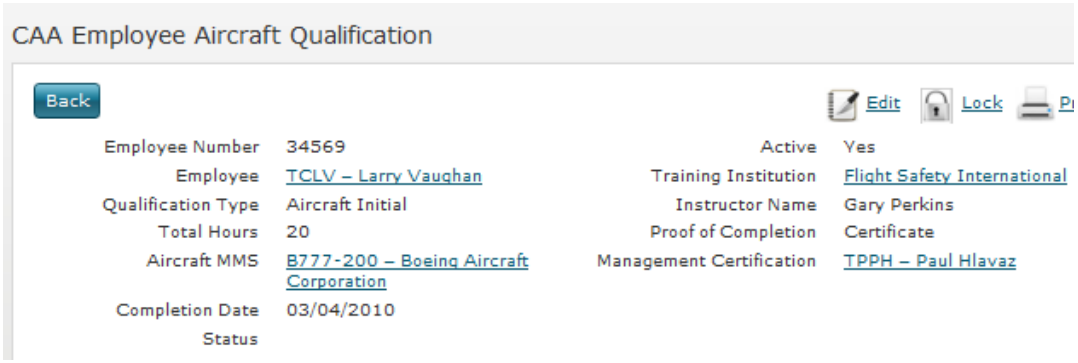
A. Normally it is not necessary to deactivate any of these aircraft qualification records.

B. But inaccurate information may be edited, if the editor does not attempt to revise the employee number or name.

	Do not attempt to revise the employee number or name fields.

12.9.4 VIEW THE COMPLETED AIRCRAFT QUALIFICATION RECORD

The completeted record should displayed on the View page similar to this example.



12.9.5 EXAMPLE EXCERPT OF REPORT OF AIRCRAFT QUALIFICATION

The following aircraft qualification excerpt from a Qualification Comprehensive Report is provided for consideration of possible content—

CAA Employee Aircraft Qualification

Active?	Date Completed	Aircraft MMS	Qualification	Training Institution
Yes	03/07/2009	DC-8	Aircraft Systems	
Yes	11/09/2000	DC9-50	Aircraft Systems	
Yes	27/02/1998	DC10-30	Aircraft Systems	Alitalia Technical Training Centre

- Note that the report arranges the licenses ascending from earliest to recent aircraft qualification
- The report above is for a maintenance inspector.
- The report below is for an operations inspector
- Both inspectors' records are still incomplete regarding training institutions.

CAA Employee Aircraft Qualification

Active?	Date Completed	Aircraft MMS	Qualification	Training Institution
Yes	14/03/2011	B747-200	Aircraft Initial	
Yes	09/03/1983	DC10-30	Aircraft Initial	KLM Training Centre
Yes	25/01/1977	DC9	Aircraft Initial	
Yes	17/03/1972	F28	Aircraft Initial	Fokker BV
Yes	11/01/1971	HS-748	Aircraft Initial	Ghana Airways Training School
Yes	11/11/1964	DC3	Aircraft Initial	Ghana Airways Training School

12.10 CAA EMPLOYEE FORMAL TRAINING

12.10.1 GENERAL

A. Formal training – primarily after employment with the CAA – is another critical component in building the credibility of the aviation safety inspectors employed by the CAA.

If a new course, check with the DQC to determine that the course number, title and training institution are available in the training course drop-down menu

B. The CAA must ensure that the new-hire technically qualified inspector is provided at least a baseline series of formal training courses and seminars for his technical specialty. These courses should be selected and planned to develop the knowledge and concepts that the inspector must use to fulfill in their safety oversight responsibilities.

C. The CAA should also have a continuing policy requiring an training plan to enhance and maintain the qualifications of the inspectors even after an inspector completes the baseline courses.

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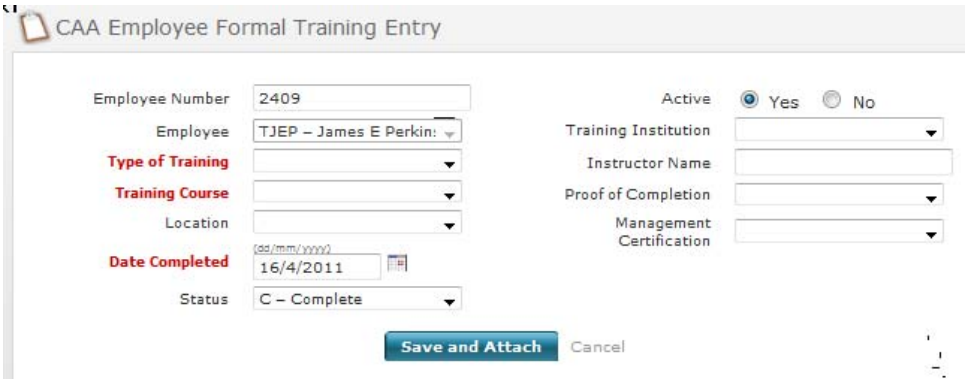
12.10.2 ENTERING NEW FORMAL TRAINING RECORD

The CAA Employee Formal Training sub-table provides for the collection and subsequent summary display of an employee's formal training course completion in the Qualification Comprehensive Report.

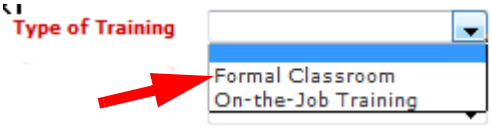


A. The default fields are —

- Employee number = employee number in Primary Record
- Employee name = employee name in Primary Record
- Date completed = current date
- Active = Yes

B. To complete this new record, the user must —

1) Enter the Type of Training as ***Formal Classroom*** from the dropdown menu provided;



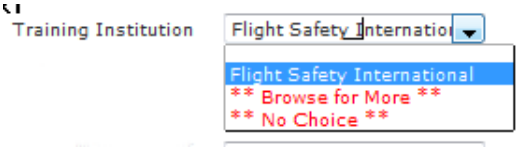
2) Enter the Training Course (number/title) from the dropdown menu provided;

3) Ensure that the Date Completed field has the correct date;

4) Enter the Training Institution from the dropdown menu provided;

5) Enter the Instructor's Names;

6) Enter the Proof of Completion is selected from the dropdown menu provided;



7) Enter the initials-name of the management person who verified the completion of this training from the dropdown menu provided.

8) Select ***Save and Attach*** to add this aircraft qualification record to the Primary Record of the employee.

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12.10.3 NO SUPERCEDED RECORDS

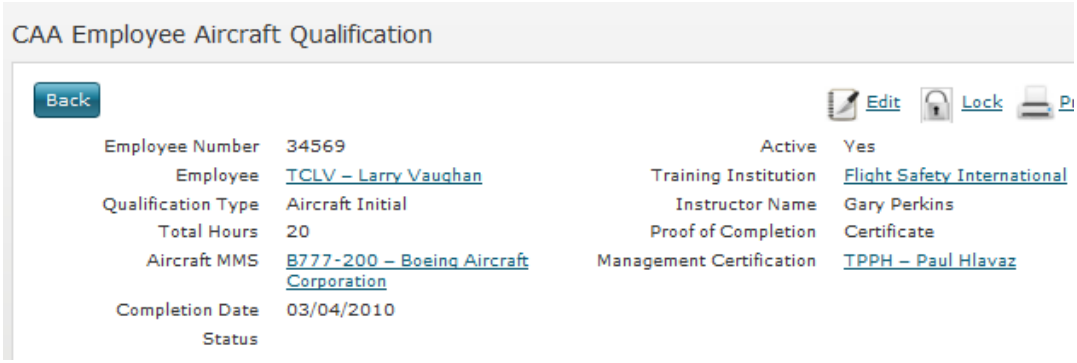
A. Normally it is not necessary to deactivate any of these formal training records.

B. But inaccurate information may be edited, if the editor does not attempt to revise the employee number or name.

⚠	Do not attempt to revise the employee number or name fields.

12.10.4 VIEW THE COMPLETED AIRCRAFT QUALIFICATION RECORD

The completeted record should display on the View page similar to this example.



12.10.5 EXAMPLE EXCERPT OF REPORT OF FORMAL TRAINING

The following formal training excerpt from a Qualification Comprehensive Report is provided for consideration of possible content—

CAA Employee Formal Training

Active?	Date Completed	Training Course	Training Institution
Yes	03/09/2010	1010-AVSOG – Acrobat Searching & Commenting Techniques	Ghana GCAA Academy
Yes	03/09/2010	1002-AVSOG – CASORT CAA Action Database Training	Ghana GCAA Academy
Yes	03/09/2010	1003-AVSOG – CASORT Safety Issue Database Training	Ghana GCAA Academy
Yes	26/07/2010	18710 – ICAO-GSI: Personnel Licensing	Ghana GCAA Academy
Yes	14/06/2010	7001-MAINT – Helicopter Aerodynamics, Structures & Systems	Air Service Training (Engineering) Ltd
Yes	29/01/2010	21000054-FAA – Work Tracking System (WTS)	FAA Academy
Yes	28/09/2007	4008-GEN – Dangerous Goods and Hazmat CAT6	Aero Vector

- Note that the report arranges the formal training course ascending from earliest to most recent training.

12.11 CAA EMPLOYEE OJT TRAINING

12.11.1 GENERAL

A. On-the-job training qualification – making sure that the inspector demonstrates a minimum level of competency in identified baseline tasks is critical to establishing the employee as a qualified inspector.

B. The CAA should also have a continuing policy requiring demonstrate competency for the more complex tasks through OJT observations even after an inspector acquires the baseline competency.

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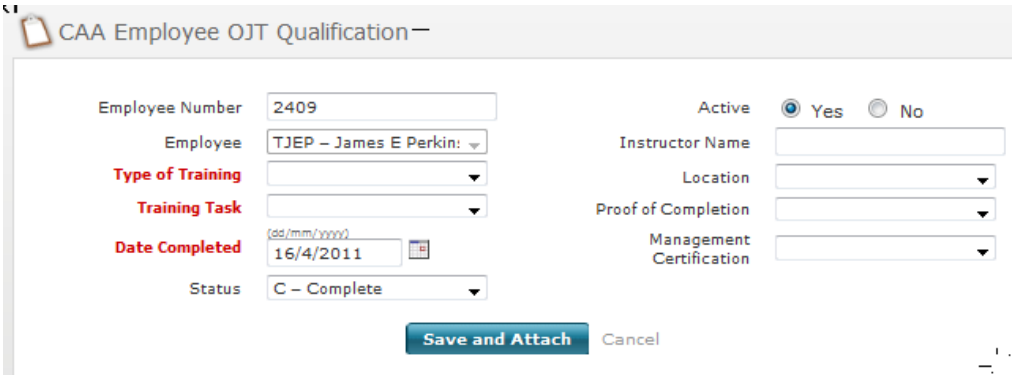
12.11.2 ENTERING NEW OJT QUALIFICATION RECORD

The CAA Employee OJT Training sub-table provides for the collection and subsequent summary display of an employee's OJT training completion of specific job tasks in the Qualification Comprehensive Report.

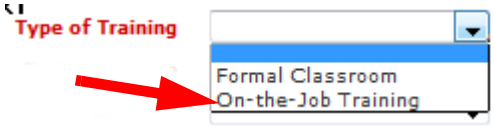


A. The default fields are —

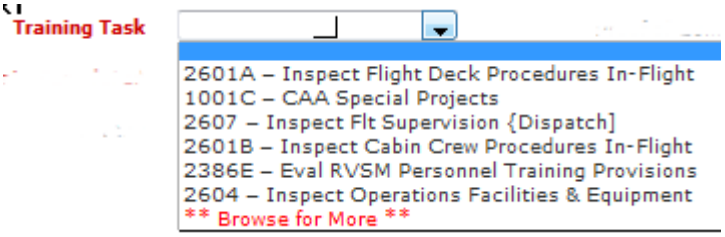
- Employee number = employee number in Primary Record
- Employee name = employee name in Primary Record
- Date completed = current date
- Active = Yes

B. To complete this new record, the user must —

1) Enter the Type of Training as ***On-the-Job Training*** from the dropdown menu provided;



2) Enter the Training Task (number/title) from the dropdown menu provided;


Training Task
2601A – Inspect Flight Deck Procedures In-Flight
1001C – CAA Special Projects
2607 – Inspect Flt Supervision {Dispatch]
2601B – Inspect Cabin Crew Procedures In-Flight
2386E – Eval RVSM Personnel Training Provisions
2604 – Inspect Operations Facilities & Equipment
** Browse for More **

- This dropdown menu is the Action Numbers "Browse ALL'" function.
- The initial numbers that are available are the last 10 selected by the inspector
- Selecting the ***Browse for More*** will open the Action Number search function.
- Remember that it will be necessary to select the "All" radial button to initiate a full search of these numbers (otherwise the search would be limited to the available Primary numbers.

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3) Enter the Instructor's Names;

4) Enter the Location (dropdown menu) where the final qualification event occurred;

5) Enter the Proof of Completion is selected from the dropdown menu provided;

6) Enter the initials-name of the management person who verified the completion of this training from the dropdown menu provided.

7) Select ***Save and Attach*** to add this OJT qual if ica ion record to the Primary Record of the employee.

12.11.3 NO SUPERCEDED RECORDS

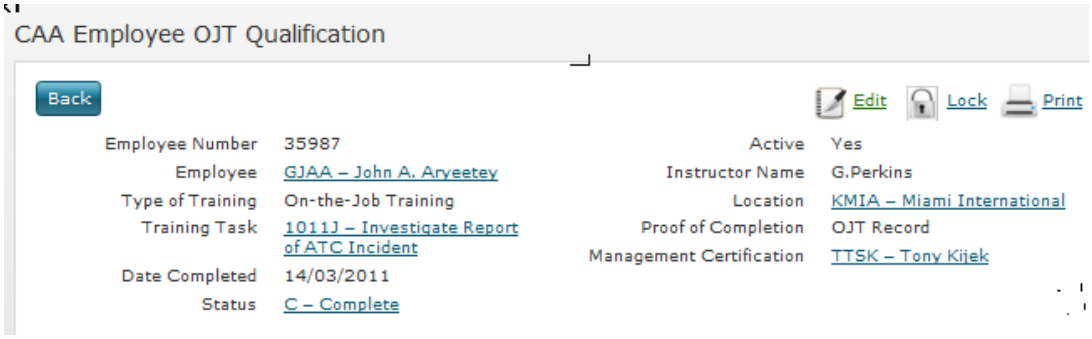
A. Normally it is not necessary to deactivate any of these OJT records.

B. But inaccurate information may be edited, if the editor does not attempt to revise the employee number or name.

⚠	Do not attempt to revise the employee number or name fields.

12.11.4 VIEW A COMPLETED OJT QUALIFICATION RECORD

The completeted record should displayed on the View page similar to this example.



12.11.5 EXAMPLE EXCERPT OF REPORT OF OJT TRAINING

The following OJT training excerpt from a Qualification Comprehensive Report is provided for consideration of possible content—

CAA Employee OJT Qualification

Active?	Date Completed	Training Task	OJT Instructor
Yes	03/04/2007	1009F – SI Resolution: Letter of Correction	James Dole
Yes	23/09/2010	1016A – CASORT-CAA Action Data Entries	James Dole
Yes	23/09/2010	1016B – CASORT-Safety Issue Data Entries	James Dole
Yes	23/09/2010	1016H – CASORT Print Standard Reports	James Dole
Yes	15/10/2010	1022B – Instructor: OJT Qualification	James Dole
Yes	01/01/2010	1150D – Certification: AMO (Apprv Maintenance Organization)	James Arthur Dole
Yes	10/12/2007	3513A – PEL Issuance: AME/AMT/Mechanic License	James Dole
Yes	04/10/2010	3602B – Inspect Aircraft Type-Specific Maintenance Program	James Dole
Yes	05/10/2010	3603 – Inspect Primary [Main] Maintenance Base	James Dole
Yes	06/10/2010	3604 – Inspect Line Stations	James Dole
Yes	01/01/2006	3607A – Inspect Aircraft for C of A Renewal	E. E. Maafo
Yes	06/10/2010	3610 – Inspect Maintenance Reliability Program	James Dole

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- Note that this report arranges the OTJ Training Tasks by CASORT Action Number in numerically descending order for ease of reference.

12.12 CAA EMPLOYEE QUALIFICATION RESUME

12.12.1 RESUME ENTRIES

12.12.1.1 Need for Detail

A. An employee's resume should provide a complete history of the employee's prior and current assignments in a very detailed manner.

This record is critical to credible hiring of the employee for safety oversight functions.

B. It is important to establish the employee's —.

1) Progressive qualifications prior to employment with the CAA; and

2) Progressive assignments after employment with the CAA.

12.12.1.2 Repetitive Entries

The completion of a Employee Resume will require separate entries for each qualification.

- The the database is setup to allow and incorporate a resume entry from any date period
- The recommended starting point is from the employee's original hard-copy resume.

This database will accept and reorder any random date period in the resume entries.

- Enter the various job positions held by the employee prior to employment with the CAA.

12.12.1.3 Recommended Format of Resume Text

A. The following elements are recommended format for making the actual resume text entry—

1) Job Position (e.g. Pilot, Mechanic, Maintenance Supervisor, Director of Operations);

2) Employer (official company name);

3) Base location;

4) Summary of terms of reference; and

5) Special achievements.

Use a colon (:) punctuation mark to separate the content of the resume text.

Examples:
- Pilot: Anywhere Airlines: London, UK: First officer on B777 aircraft
- Director of Operations: Anywhere Airlines: Paris, France: responsible for all operations of an international airline with B777 and A320 aircraft.
- Maintenance Supervisor: Commodore Aeromotive; Miami, FL USA: responsible for maintenance performed by this small approved maintenance organization.

B. Use a colon punctuation to separate the elements of the resume text

12.12.1.4 Include Special Qualifications Separately

The resume should include text entries for periods of time involving special qualifications, prior to employment with the CAA, such as —

- Attendance and completion at a university
- Attendance and completion at a technical school
- Performance as a CAA designee

- It is not necessary to be concerned with sequence of dates at this point in the process.
- This database will accept multiple overlapping resume entries.

12.12.1.5 Include Current Job Assignments

A. The resume should include the primary job assignments while employed by the CAA, such as—

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- "Qualified Surveyor: UK-CAA: London, UK: assigned to PMI for 15 air taxi operators and 5 approved maintenance organizations."
- "Principal Operations Inspector: Canada MOT: Ottawa, Canada: responsible for Worldwide Airlines AOC and associated ATO."

- When viewed in the View List, individual resume entries will seem out-of-order.
- The Qualification Comprehensive Report will organize the entries chronologically..

12.12.2 ENTERING A NEW EMPLOYEE RESUME RECORD

A. The CAA Employee resume form is simply the collection of dates and resume text that is formatted by the computer for the production of the Qualification Comprehensive Report for an employee..

B. The default fields are —

- Employee number = employee number in Primary Record
- Employee name = employee name in Primary Record
- Begin i ng date = current date
- Active = Yes

C. To complete this new record, the user must —

1) Insert the resume text into the "Employment/Experience" field;
2) Ensure **beginning date** is correct;
3) Enter an **ending date**;
4) Select ***Save and Attach*** to add this resume entry to the Primary Record of the employee.

An ending date is not required for current job assignments.

12.12.3 NO SUPERCEDED RECORDS

A. Normally it is not necessary to deactivate any of these employee resume records.

B. But inaccurate information may be edited, if the editor does not attempt to revise the employee number or name.

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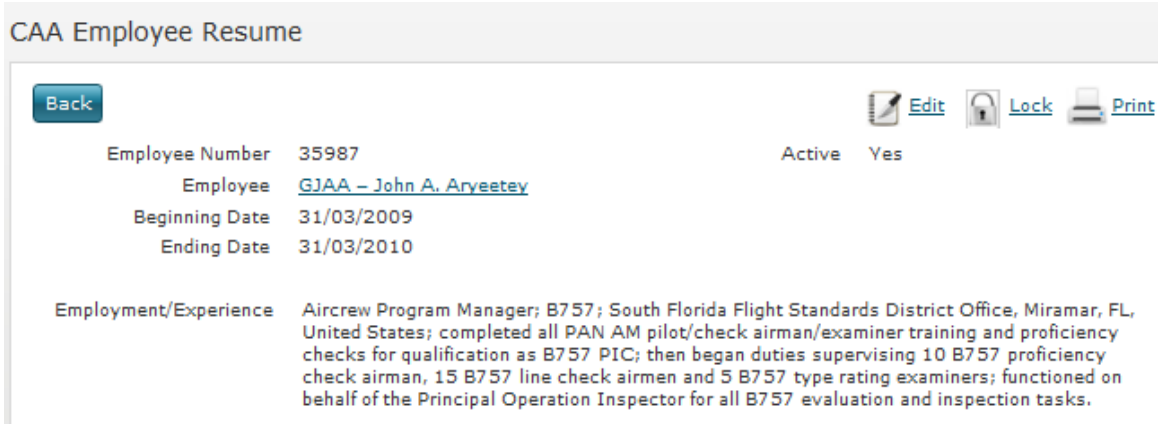
12.12.4 VIEW A COMPLETED EMPLOYEE RESUME RECORD

The completeted record should displayed on the View page similar to this example.


CAA Employee Resume
Back
Edit
Lock
Print
Employee Number
35987
Active
Yes
Employee
GJAA – John A. Aryeetey
Beginning Date
31/03/2009
Ending Date
31/03/2010
Employment/Experience
Aircrew Program Manager; B757; South Florida Flight Standards District Office, Miramar, FL, United States; completed all PAN AM pilot/check airman/examiner training and proficiency checks for qualification as B757 PIC; then began duties supervising 10 B757 proficiency check airman, 15 B757 line check airmen and 5 B757 type rating examiners; functioned on behalf of the Principal Operation Inspector for all B757 evaluation and inspection tasks.

12.12.5 EXAMPLE EXCERPT OF REPORT OF RESUME ENTRIES

The following CV/Resume excerpt from a Qualification Comprehensive Report is provided for consideration of possible content—

CAA Employee Resume

Active?	Begin	End	Employment/Experience
Yes	31/03/2010		Manager, Flight Operations Section; South Florida Flight Standards District Office, Federal Aviation Administration; Miramar, FL, United States; assigned supervisory duties for 2 operations supervisors and 26 operation inspectors with scope of duties for all certificate management, evaluation, inspection and investigation tasks for 15 air operators ranging in complexity fleet sizes 5 to 29 aircraft and all general aviation and aerial work in the State of Florida.
Yes	31/03/2009	31/03/2010	Aircrew Program Manager; B757; South Florida Flight Standards District Office, Miramar, FL, United States; completed all PAN AM pilot/check airman/examiner training and proficiency checks for qualification as B757 PIC; then began duties supervising 10 B757 proficiency check airman, 15 B757 line check airmen and 5 B757 type rating examiners; functioned on behalf of the Principal Operation Inspector for all B757 evaluation and inspection tasks.
Yes	28/03/2009		Dangerous Goods Coordinator; South Florida Certificate Management Office; Federal Aviation Administration; Atlanta, GA USA; planned and adminsterered the MRAI program for dangerous goods; Conducted or supervised all evaluations, inspections and investigations relating to dangerous goods in the State of Florida.
Yes	31/03/2008	31/03/2009	Principal Operations Inspector: Delta Certificate Management Office; Federal Aviation Administration; Atlanta, GA, United States; assigned certificate management duties for Conner Airlines.
Yes	30/03/2007	31/03/2008	Flight Operations Inspector; Atlanta Flight Standards District Office; Federal Aviation Administration; Atlanta, GA, United States
Yes	31/03/2006	01/04/2007	Director of Training; Republic Airlines, Indianapolis, IN, United States
Yes	16/03/2005	31/03/2006	Director of Operations; Laker Airlines, Ft Lauderdale, FL, United States
Yes	31/03/2003	31/03/2005	Captain, B737; Laker Airlines, Ft Lauderdale, FL, United States
Yes	28/03/2002	31/03/2003	Owner & Chief Flight Instructor; Aviation Concepts; Penascola, FL, United States.
Yes	02/04/2001	29/03/2002	Chief Flight Instructor; Aviation Concepts; Pensacola, FL, United States
Yes	14/03/2000	29/03/2001	Flight Instructor; Aviation Concepts; Pensacola, FL

- Note that this report arranges the Resume entries in ascending order by beginning date to show the most recent experience first..

End of Chapter

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Chapter 13
Using the CASORT Reporting Capabilities

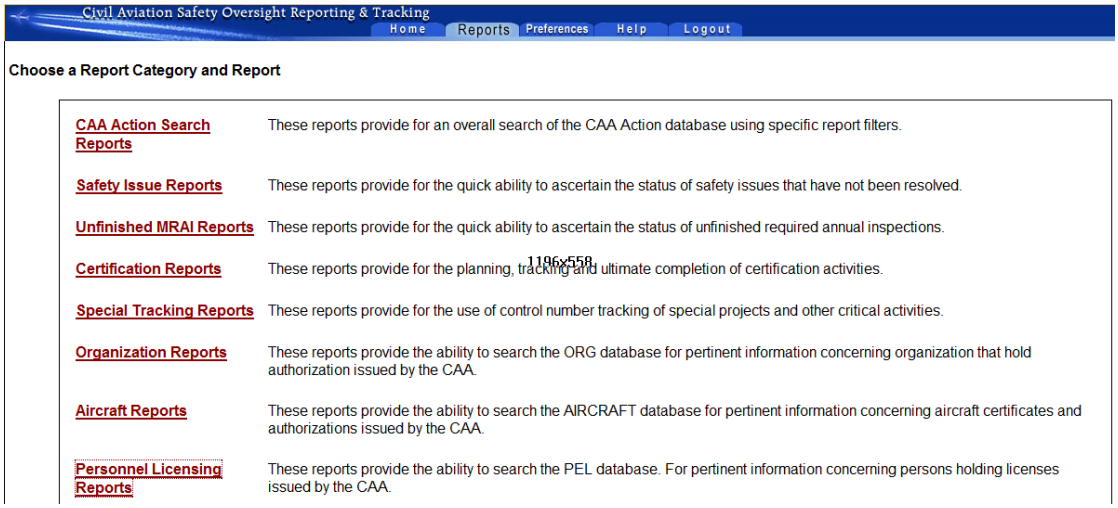
This chapter outlines the possible methods for extracting reports from the CASORT databases.

13.1 ACCESSING & SET-UP OF CASORT REPORTS

13.1.1 ACCESSING THE CASORT STANDARD REPORTS

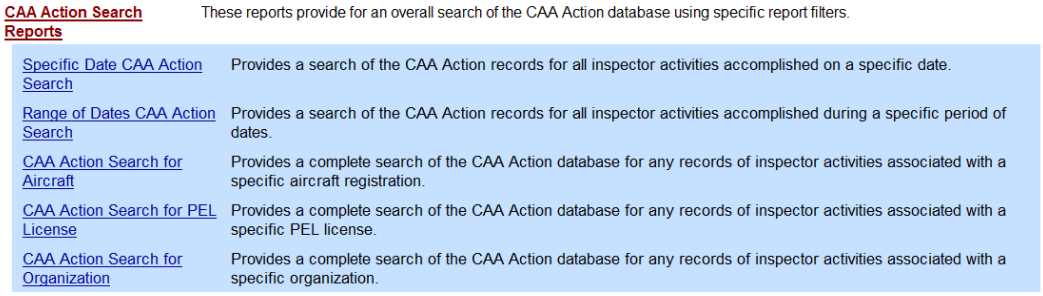
A. Accessing the CASORT standard reports is accomplished by selecting **Home Page> Reports** (located on the Tab Bar).

B. That action will bring up links to groupings of reports. There are currently 10 general groupings of reports for the users to select. The descriptions of the general groupings are contained on this page.


Civil Aviation Safety Oversight Reporting & Tracking
Home
Reports
Preferences
Help
Logout
Choose a Report Category and Report
CAA Action Search Reports
These reports provide for an overall search of the CAA Action database using specific report filters.
Safety Issue Reports
These reports provide for the quick ability to ascertain the status of safety issues that have not been resolved.
Unfinished MRAI Reports
These reports provide for the quick ability to ascertain the status of unfinished required annual inspections.
Certification Reports
These reports provide for the planning, tracking and ultimate completion of certification activities.
1186x558
Special Tracking Reports
These reports provide for the use of control number tracking of special projects and other critical activities.
Organization Reports
These reports provide the ability to search the ORG database for pertinent information concerning organization that hold authorization issued by the CAA.
Aircraft Reports
These reports provide the ability to search the AIRCRAFT database for pertinent information concerning aircraft certificates and authorizations issued by the CAA.
Personnel Licensing Reports
These reports provide the ability to search the PEL database. For pertinent information concerning persons holding licenses issued by the CAA.

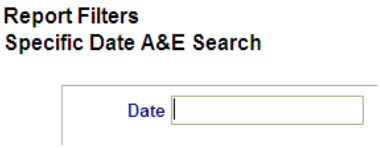
C. Selecting a link to one of those groupings will take the user to another set of links.

Note that each link has a description of the report that is associated with it.


CAA Action Search Reports
These reports provide for an overall search of the CAA Action database using specific report filters.
Specific Date CAA Action Search
Provides a search of the CAA Action records for all inspector activities accomplished on a specific date.
Range of Dates CAA Action Search
Provides a search of the CAA Action records for all inspector activities accomplished during a specific period of dates.
CAA Action Search for Aircraft
Provides a complete search of the CAA Action database for any records of inspector activities associated with a specific aircraft registration.
CAA Action Search for PEL License
Provides a complete search of the CAA Action database for any records of inspector activities associated with a specific PEL license.
CAA Action Search for Organization
Provides a complete search of the CAA Action database for any records of inspector activities associated with a specific organization.

D. Selecting any of these links opens the report filter page for the specific report selected.

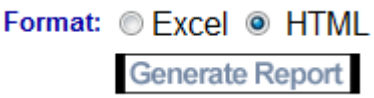
- Each report has pre-set filters for the report that will be identified in the report heading
- Most of the reports have user filters to further drill-down the search used for the report. such as the “Inspector Initials” filter



13.2 HTML VS MS EXCEL REPORT FEATURE

A. The user has the option (for most reports) to select the format as —

- HTML
- Excel



B. The reports filter feature is defaulted to HTML. To display a report in MS Excel, the user must select the Excel radial button before selecting ***Generate Report***.

C. The advantage to HTML is *Speed*. This selection displays the report quickly and in an informal format that may be reviewed and printed quickly and distributed informally.

- For example: a manager may run the Unfinished MRAI report for each inspector and in a few minutes later, print them and take them to a staff meeting for distribution and discussion.

Most users prefer HTML exclusively, since their purpose is to get a quick reference document for orientation.

D. The advantage to Excel is *Editing Capability* and *Presentation*. A user with moderate Excel skills can dress up a report for formal presentation.

- For example: when the Completed Certification Summary report is run, the display files may NOT appear in a logical order. The user may then move the rows to place them in a logical order.

Excel also allows the use of color to visually separate phases of certification for better report presentation.

13.3 CAA ACTION SEARCH REPORT FILTERS

13.3.1 STANDARD REPORT HEADERS

The report headers for all of these search reports are standard with few exceptions.

ID#	Date	A&E #	Task	Action	SI	LOC	INI	ORG	Reg	MMS	MGT
16	09/10/2006	2601A	Inspect Flt Deck Enroute	S	0	KMIA	GKP	ANYA	N3456Y	B737-700	Beneby, V

- Control number will always appear in the far left column. This number will be used to return to a specific record.
- The date will be in the second left column. This will usually be the initial sort for the report.
- The Action number and its description will be co-located. This aspect allows the reader to follow the types of functions that were being accomplished.
- The Action Taken will follow the CAA Action description.
- The number of Safety Issues (SI) will follow the Action Taken.

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- The Location where the task was performed or initiated will included
- The Inspector Initials (INI) will follow the location.
- The Organization (ORG) will appear on some reports.
- The Aircraft Registration (Reg) and Aircraft MMS will appear on all search reports.
- The Management Representative (MGT) involved will appear on some reports
- The Pilot-In-Command number (PIC#) will appear on some reports.

13.3.2 CAA ACTION SPECIFIC DATE SEARCH

A. This report allows the search for tasks accomplished on a specific date.

B. It is critical that the date searched conform to the day/month/year format.

C. It is equally critical that the full year be entered, e.g. 2006

Report Filters
Specific Date A&E Search

Date 20/10/2006
Comments: This is a A&E search for all records on a specific date.
Include report description
Generate Report

Specific Date A&E Search

Description: Provides a search of the A&E records for all inspector activities accomplished on a specific date.

Report Filter: Date = 20/10/2006

Comments: This is a A&E search for all records on a specific date.

ID	Date	A&E #	Task	Action	SI	LOC	INI	ORG	Reg	MMS	PIC#

13.3.3 CAA ACTION RANGE OF DATES SEARCH

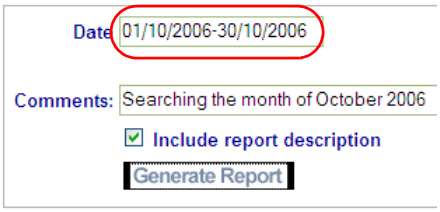
A. This report allows a search for all tasks accomplished during a specific range of dates.

B. It is critical that the dates searched conform to the day/month/year format.

C. It is equally critical that the full year be entered, e.g. 2006

D. There should be only a “dash” between the two years.

Report Filters
Range of Dates A&E Search



Range of Dates A&E Search

Description: Provides a search of the A&E records for all inspector activities accomplished during a specific period of dates.

Report Filter: Date = 01/10/2006 - 30/10/2006

Comments: Searching the month of October 2006

ID#	Date	A&E #	Task	Action	SI	LOC	INI	ORG	Reg	Model	PIC#
16	09/10/2006	2601A	Inspect Flt Deck Enroute	S	0	KMIA	GKP	ANYA	N3456Y	B737-700	002456 Johnson, F
17	10/10/2006	2355A	Eval Normal Boarding Procedures	I	0	KMIA	GKP		N3456Y	B737-700	

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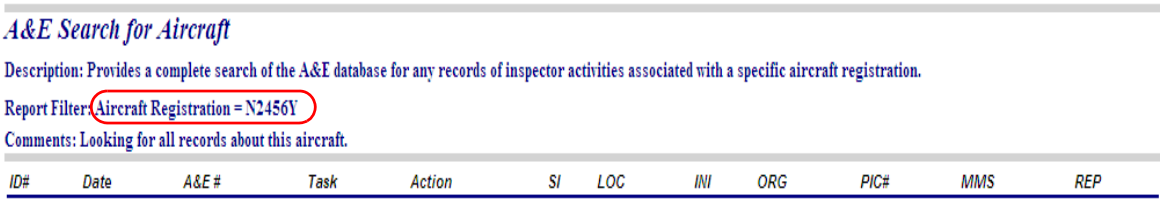
13.3.4 CAA ACTION SEARCH FOR SPECIFIC AIRCRAFT

A. This report will retrieve all records in the CAA Action database for a specific aircraft.

B. Consistent data entry is important if this search is to be comprehensive.

C. There is no discrimination for upper or lower case letters

D. But there is discrimination based on spacing. If the correct entry is UZ-123, failure to consistently include the dash or any extra space within the string will result in inaccurate reports.


A&E Search for Aircraft
Description: Provides a complete search of the A&E database for any records of inspector activities associated with a specific aircraft registration.
Report Filter: Aircraft Registration = N2456Y
Comments: Looking for all records about this aircraft.
ID# Date A&E # Task Action SI LOC INI ORG PIC# MMS REP

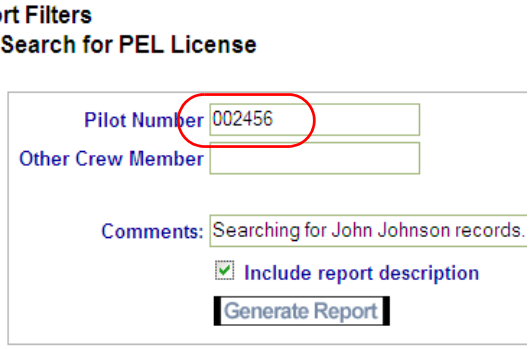
13.3.5 CAA ACTION SEARCH FOR SPECIFIC PEL LICENCE

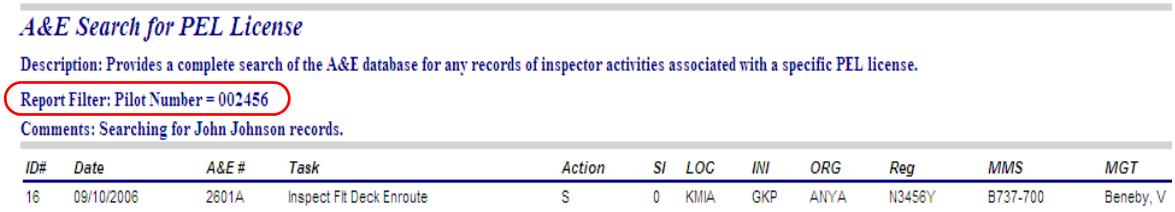
A. This report allows the user to search the CAA Action database for all records associated with a specific pilot license

B. This report filter will only search one field at a time. If the user wants to check both fields for a pilot's license number, it will be necessary to generate 2 separate reports.

C. The user may enter the full number or a part of the number. Failure to enter the full number may compromise the search. Users should be cautious in their entries.

D. This report also depends on consistency of entry.




A&E Search for PEL License
Description: Provides a complete search of the A&E database for any records of inspector activities associated with a specific PEL license.
Report Filter: Pilot Number = 002456
Comments: Searching for John Johnson records.
ID# Date A&E # Task Action SI LOC INI ORG Reg MMS MGT
16 09/10/2006 2601A Inspect Flt Deck Enroute S 0 KMIA GKP ANYA N3456Y B737-700 Beneby, V

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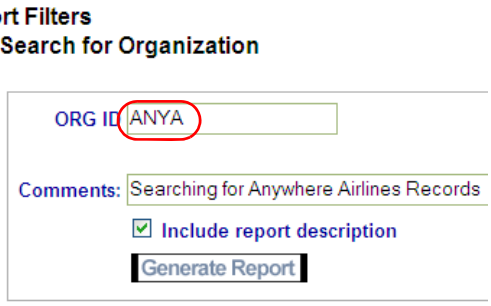
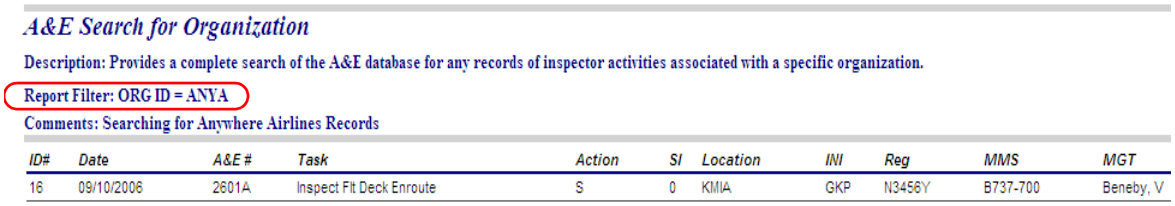
13.3.6 CAA ACTION SEARCH FOR SPECIFIC ORGANIZATION

A. This report allows the user to search the CAA Action database for all records associated with a specific organization.

B. This report filter does not discriminate between upper and lower case letters.

C. Since the original entry of this organization identifier is computer generated, this filter should not have any consistency issues.





A&E Search for Organization

Description: Provides a complete search of the A&E database for any records of inspector activities associated with a specific organization.

Report Filter: ORG ID = ANYA

Comments: Searching for Anywhere Airlines Records

ID#	Date	A&E #	Task	Action	SI	Location	INI	Reg	MMS	MGT
16	09/10/2006	2601A	Inspect Flt Deck Enroute	S	0	KMIA	GKP	N3456Y	B737-700	Beneby, V

13.4 OPEN SAFETY ISSUE REPORTS

13.4.1 GENERAL

A. Most of these standard reports display the safety issues that are currently OPEN.

B. There are 3 groupings of safety issue reports—

- Open High Risk Issues
- Open Low Risk issues
- Safety issues summary reports (contains open and resolved issues)

- Open safety issues are like dead fish. They begin to stink after a short period of time.
- Open safety issues need to be visible to all members of the safety oversight staff.
- Timely and effective resolution of open safety issues should be considered one of the most important goals of CAA management.

13.4.2 "OPEN ISSUE" REPORTS VS INITIAL RISK ASSESSMENT

A. The open safety issue reports are available are customized according to audience —

- For individual inspectors = Open High Risk Issues (Inspector)
- For principal inspectors of specific organizations = Open High Risk Issue (Organization)

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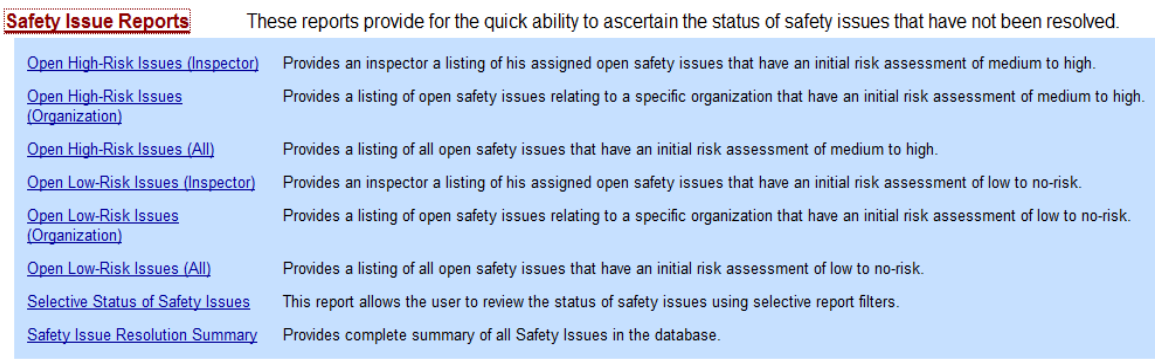
- For management overview = Open High Risk Issues (All)



Safety Issue Reports These reports provide for the quick ability to ascertain the status of safety issues that have not been resolved.

Open High-Risk Issues (Inspector)	Provides an inspector a listing of his assigned open safety issues that have an initial risk assessment of medium to high.
Open High-Risk Issues (Organization)	Provides a listing of open safety issues relating to a specific organization that have an initial risk assessment of medium to high.
Open High-Risk Issues (All)	Provides a listing of all open safety issues that have an initial risk assessment of medium to high.
Open Low-Risk Issues (Inspector)	Provides an inspector a listing of his assigned open safety issues that have an initial risk assessment of low to no-risk.
Open Low-Risk Issues (Organization)	Provides a listing of open safety issues relating to a specific organization that have an initial risk assessment of low to no-risk.
Open Low-Risk Issues (All)	Provides a listing of all open safety issues that have an initial risk assessment of low to no-risk.
Selective Status of Safety Issues	This report allows the user to review the status of safety issues using selective report filters.
Safety Issue Resolution Summary	Provides complete summary of all Safety Issues in the database.

B. The available Open Low-Risk Issues reports mirror the categories of the Open High-Risk reports.

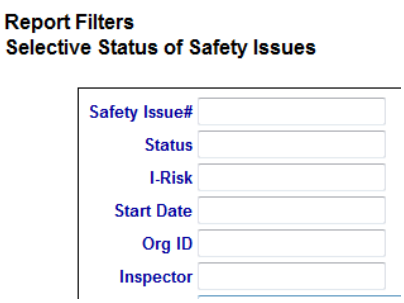
- The separation of High-Risk and Low-Risk reports was necessary to emphasis the priority of those issues identified with a High or Medium risk assessment.

13.4.3 SAFETY ISSUE SUMMARY REPORTS

A. The summary reports provide the mechanism for CAA management at all levels (and the Safety Program Coordinator) to generally perform quality audits of the CAA's safety issue resolution program.

B. The Selective Status of Safety Issues" report provides the CAA staff will the ability to quickly develop overview reports about the past and present resolution of safety issues.

- The report filters for this report were selected based on the request of experienced users.
- One or more of these report filters may be used in combination to extract specific groupings of records.



Report Filters
Selective Status of Safety Issues

Safety Issue#
Status
I-Risk
Start Date
Org ID
Inspector

C. The "Safety Issue Resolution Summary" is just a summary report with limited text allowing to CAA to maintain a backup outline of their safety issue database.

13.5 UNFINISHED MRAI INSPECTIONS

13.5.1 GENERAL

A. Most of these standard reports display the planned minimum annual inspections that are currently UNFINISHED.

- Completion of the planned minimum annual inspections should be considered one of the primary goals of CAA management.

B. The planning of the MRAI inspections is usually accomplished prior to the beginning of the year in which these inspections will occur.

- This planning should be done in accordance with a CAA-published MRAI document.
- Inspectors should develop their individual plans to comply with the current MRAI document.
- Supervisors should review and approve these planned events for upload into the CASORT-Action database

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- The initial plan should be printed and distributed to each CAA employee to emphasis the need for completion of these inspections.
- Throughout the year, the review of the Unfinished inspections should be accomplished at regular intervals.
- These reports facilitate those reviews.

- A copy of this MRAI plan should be uploaded to the CASORT-Document Control database for future reference.

C. The Unfinished MRAI Inspection reports are customized according to audience —

- For individual inspectors = Unfinished MRAI (Inspector)
- For principal inspectors of specific organizations = Unfinished MRAI (by Organization)
- For management overview = Unfinished MRAI (All)

Unfinished MRAI Reports These reports provide for the quick ability to ascertain the status of unfinished required annual inspections.

Unfinished MRAI [Inspector]	Provides an inspector a listing of his unfinished MRAI inspections
Unfinished MRAI [By Organization]	Provides alisting of the unfinished MRAI inspections for a specific organization
Unfinished MRAI [All]	Provides a listing of all unfinished MRAI inspections in the database
Status of Minimum Required Annual Inspections	This report allows the user to check the status of the MRAI inspection Completion for a period of time.

D. The Status of MRAI Inspections" report provides the CAA staff will the ability to quickly develop overview reports about the past and present completion of planned MRAI inspections.

- The report filters for this report were selected based on the request of experienced users.
- One or more of these report filters may be used in combination to extract specific groupings of records.

Report Filters
Status of Minimum Required Annual Inspections

Date	
Action	
Org ID	
Inspector	
AC M/M/S	

13.6 CERTIFICATION REPORTS

A. The certification reports were developed to assist the CAA management and their certification project coordinators will the ability to plan and track the accomplishment of formal certifications.

Certification Reports These reports provide for the planning, tracking and ultimate completion of certification activities.

Planned Certification Summary	Provides a listing of all PLANNED CAA Action numbers assigned to a specific certification. Keep a hard copy in the AOC Completed Certification Report.
Completed Certification Summary	Provides a chronological listing of all CAA Action events in the certification records in the database for a specific certification project number. Keep a hard copy in the AOC Completed Certification Report.

B. The CAA should plan the minimum certification events (MCE) that should occur in the certification of an organization prior to the beginning of the Document Conformance Phase.

- This planning should be done in accordance with the published CAA certification guidance.
- A CASORT-Action project number will be assigned to appear on all records associated with the certification.
- The certification team should develop their MCE plan in Excel based on the type and complexity of the organization to be certificated.

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- Supervisors should review and approve the MCE plan events for upload into the CASORT-Action database
- The initial MCE plan should be printed and distributed to the certification team members.
- Throughout the remaining certification process the team should conduct a weekly review of both the MCE plan and the Completed Certification Summary.

- A copy of this MCE plan should be uploaded to the CASORT-Document Control database for future reference.

C. The **Planned Certification Summary** report is a listing of the planned events for the certification.

- The CPC may use this report to assign completion of the certification job tasks.
- As a team member completes an evaluation or inspection task, the planned CASORT-Action record will be accessed and completed.
- That entry will cause the "planned" event to be de-listed as a "planned" from the Planned Certification Summary Report.

- The Planned Certification Summary is used by the CPC as a "checklist."
- When the current print-out of this report has no files listed, the certification is complete.
- Only the final CAA certification document processing remains

D. The **Completed Certification Summary** report is a listing of all of the CAA actions that occur from the official start to the official end of that certification process.

- Initially this report will include only the planned MCE events.
- But as the inspection actions are taken they will appear on this report.
- The CPC will be able to track the certification work in progress and completed.
- This report will be closed out when all CAA grants of approval have been made to the applicant.
- This report will be included as one of in the key chapters in the Completed Certification "book"

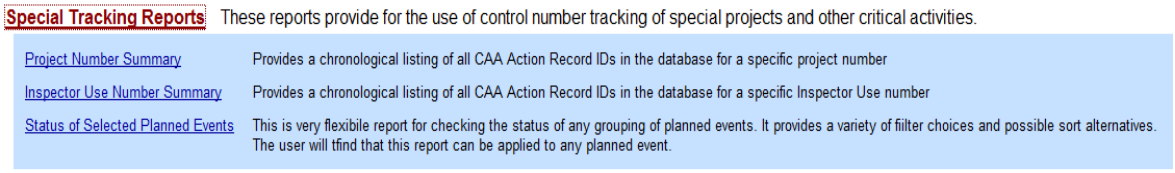
- The final Completed Certification Summary should be printed in Excel.
- The files should be arranged in actual chronological order.
- Use colors to discriminate between the phase of the certification

13.7 SPECIAL TRACKING REPORTS

A. The Special Tracking Reports are provided for the CAA management to required tracking of specific projects through the use of a CASORT-Action —

1) Project number = to track projects external to the CAA such as certifications; and

2) Tracking number = to track projects internal to the CAA, such as development of new manual.


Special Tracking Reports
These reports provide for the use of control number tracking of special projects and other critical activities.
Project Number Summary
Provides a chronological listing of all CAA Action Record IDs in the database for a specific project number
Inspector Use Number Summary
Provides a chronological listing of all CAA Action Record IDs in the database for a specific Inspector Use number
Status of Selected Planned Events
This is very flexibile report for checking the status of any grouping of planned events. It provides a variety of fiilter choices and possible sort alternatives. The user will tfind that this report can be applied to any planned event.

B. The inspectors are required to enter the project or tracking number into their CASORT-action records relating to the specific project they are working.

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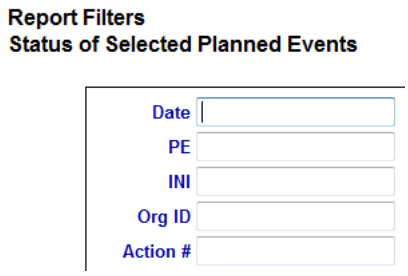
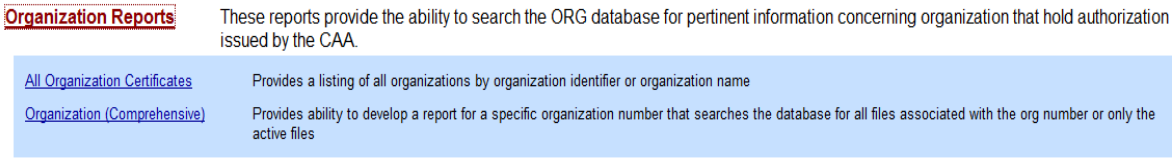
C. The Status of Selected Planned Events report provides a method of selectively reviewing the status of other planned events for —

1) R = Minimum Required Annual Inspections
2) M = Minimum Certification Events
3) A = Management-Assigned Task
4) T = Employee Training Plan
5) E = Expiring Documents



13.8 ORGANIZATION REPORTS

A. The organization reports are taken from the CASORT-Organization database.


Organization Reports
These reports provide the ability to search the ORG database for pertinent information concerning organization that hold authorization issued by the CAA.
All Organization Certificates
Provides a listing of all organizations by organization identifier or organization name
Organization (Comprehensive)
Provides ability to develop a report for a specific organization number that searches the database for all files associated with the org number or only the active files

B. The **All-Organization Certificates** report is an extract from the Organization sub-table = ORG certificates.

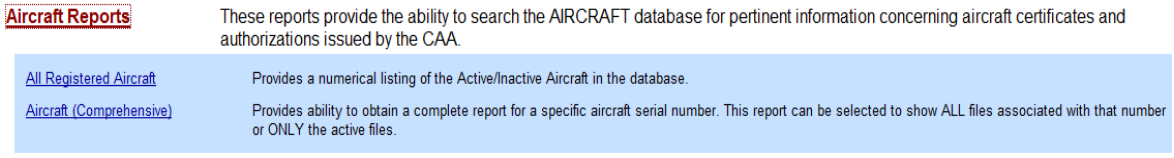
- The report extracts a listing of the Organization Certificates in the database.
- It is defaulted to Active=Yes, but the user may choose Active=ALL to have the report include all of the certificates that have been historically been issued by the CAA.

C. The Organization (Comprehensive) report extracts pertinent information regarding all of the approvals and authorizations issued to a specific organization.

- It is defaulted to Active=Yes to pull only the active approvals and authorizations.
- The user may choose Active-ALL to have the report include all of the current and historical approvals issued to this specific organization.

13.9 AIRCRAFT REPORTS

A. The aircraft reports are taken from the CASORT-Aircraft database.


Aircraft Reports
These reports provide the ability to search the AIRCRAFT database for pertinent information concerning aircraft certificates and authorizations issued by the CAA.
All Registered Aircraft
Provides a numerical listing of the Active/Inactive Aircraft in the database.
Aircraft (Comprehensive)
Provides ability to obtain a complete report for a specific aircraft serial number. This report can be selected to show ALL files associated with that number or ONLY the active files.

B. The **All-Registered Aircraft** report is an extract from the Aircraft database sub-table - Registration Information.

- The report extracts a listing of the Certificates of Registration in the database.
- It is defaulted to Active=Yes, but the user may choose Active=ALL to have the report include all of the certificates of registration that have been historically been issued by the CAA.

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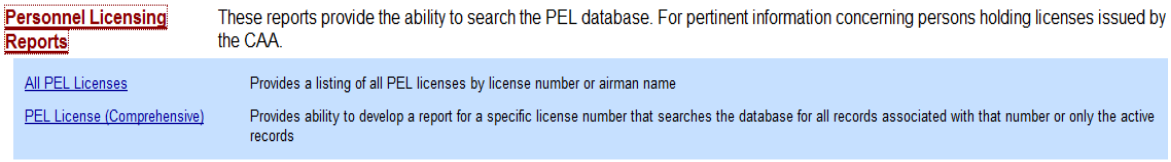
C. The **Aircraft (Comprehensive)** report extracts pertinent information regarding all of the approvals and authorizations issued to a specific aircraft.

- It is defaulted to Active=Yes to pull only the active approvals and authorizations.
- The user may choose Active-ALL to have the report include all of the current and historical approvals issued to this specific organization.

13.10 PERSONNEL LICENSING REPORTS

A. All PEL Licensing reports are extracted from the CASORT-Personnel Licensing database


Personnel Licensing Reports
These reports provide the ability to search the PEL database. For pertinent information concerning persons holding licenses issued by the CAA.
All PEL Licenses
Provides a listing of all PEL licenses by license number or airman name
PEL License (Comprehensive)
Provides ability to develop a report for a specific license number that searches the database for all records associated with that number or only the active records

B. The **All PEL Licenses** report is an extract from the Personnel Licensing database sub-table= PEL Licenses.

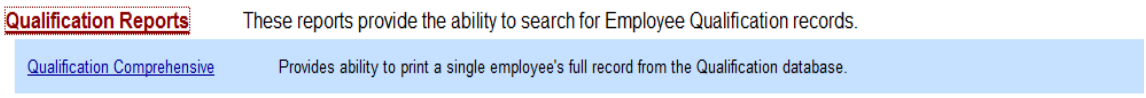
- The report extracts a listing of the PEL licenses in the database.
- It is defaulted to Active=Yes, but the user may choose Active=ALL to have the report include all of the PEL licenses that have been historically been issued by the CAA.

C. The **PEL License (Comprehensive)** report extracts pertinent information regarding all of the ratings, approvals and authorizations issued to a specific individual.

- It is defaulted to Active=Yes to pull only the active ratings, approvals and authorizations.
- The user may choose Active-ALL to have the report include all of the current and historical approvals issued to this specific individual.

13.11 QUALIFICATION REPORTS

A. The qualification reports are extracted from the CASORT-Qualification database.


Qualification Reports
These reports provide the ability to search for Employee Qualification records.
Qualification Comprehensive
Provides ability to print a single employee's full record from the Qualification database.

B. The **Qualification (Comprehensive)** report extracts pertinent information regarding all of the qualifications and training for a specific CAA employee.

- It is defaulted to Active=Yes to pull only the active training and qualification files.
- The user may choose Active-ALL to have the report include all of the training and qualification information for the specific CAA employee.

13.12 MY REPORTS

A. The My Reports link opens links to reports that have been generated by the individual user for his personal use.

These reports will not appear in any other user's My Reports Listing.

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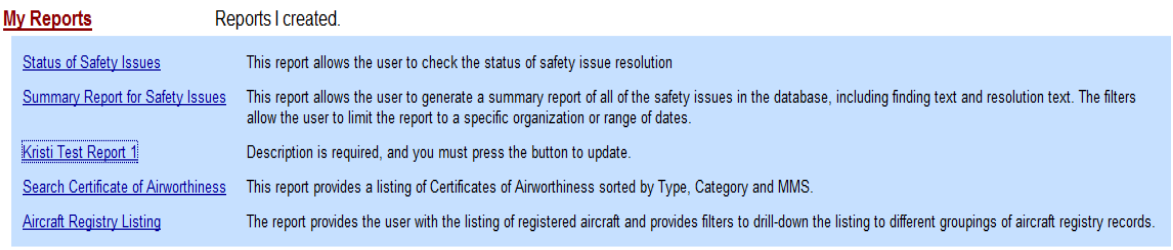

My Reports
Reports I created.
Status of Safety Issues
This report allows the user to check the status of safety issue resolution
Summary Report for Safety Issues
This report allows the user to generate a summary report of all of the safety issues in the database, including finding text and resolution text. The filters allow the user to limit the report to a specific organization or range of dates.
Kristi Test Report 1
Description is required, and you must press the button to update.
Search Certificate of Airworthiness
This report provides a listing of Certificates of Airworthiness sorted by Type, Category and MMS.
Aircraft Registry Listing
The report provides the user with the listing of registered aircraft and provides filters to drill-down the listing to different groupings of aircraft registry records.

B. In this example, the user has generated 5 reports by using the Reports Generator feature of the CASORT database.

C. These reports could be transferred into the standard reports if the supervisor desires that they be available to all users.

13.13 SETTING UP THE REPORT HEADING

If this report is being requested for use in a presentation or to maintain as a historical file, the user should take the time to setup the report heading according to the following instructions.

13.13.1 CLARITY OF REPORT PRESENTATION

A. Originally the CASORT reports were intended as a method of reviewing a hard-copy of the data from specific search and sort perspective. They were not intended to provide summarized hard-copy evidence of groupings of tasks accomplished.

B. The users of the database requested the provision of better descriptors with the report so that a future reader would understand at a glance what information the report was summarizing.

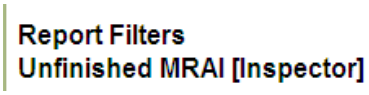
C. To achieve that report clarity, the following descriptors are provided—

- The title of the report (mandatory)
- The report filters (mandatory) - a listing of the specific filters that were used to build the report
- The report description (optional) - allows the inclusion of the report description provided by the database (located on the same page with the link to the specific report).
- The report comments (optional) - allows the inclusion of a more specific discussion of the purpose and/ or information contained in the report

D. For example, when the user goes to the specific report link by selecting **Home Page> Reports> Activity> Unfinished MRAI [Inspector],** there is a provision to address each of these descriptors.

13.13.2 MANDATORY DESCRIPTORS

A. On the Report Filters page, the name of report will appear directly below the words “Report Filters.”



B. If the user completes the discriminating report filter “**Inspector Initials**” and selects **Generate Report** without completing the optional descriptors, the report heading will having the following mandatory descriptors—

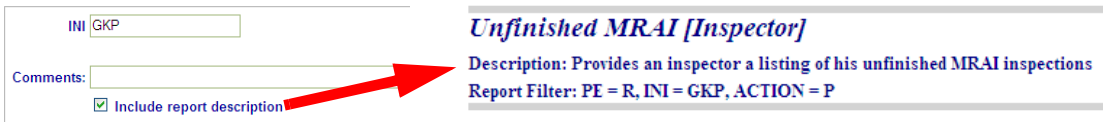
- Note that the Report Filter line will include all filters used by the report, not just the ones entered by the user.
- Use all-capital letters in completing the filter, because the report will be capitalizing all other filters.

13.13.3 OPTIONAL DESCRIPTOR - REPORT DESCRIPTION

A. By adding the optional report description provided by the database, a future, possibly non-technical reader will have a better understanding of what information is contained in the report.

B. That report description can be added as a descriptor by selecting the box with the label "**include report description"** and **Generate Report.**

C. The resulting report heading will insert the report description between the report title and report filter (see below)


INI GKP
Comments:
Include report description
Unfinished MRAI [Inspector]
Description: Provides an inspector a listing of his unfinished MRAI inspections
Report Filter: PE = R, INI = GKP, ACTION = P

13.13.4 OPTIONAL DESCRIPTOR: REPORT COMMENTS

A. The best way to preserve a report in a manner that will give the future reader an understanding of what the report contains and why it was made is to insert that information in the heading.

B. That is accomplished by inserting the information in the space provided to the right of the label "**Comments.**"

C. For best impact and contrast, these comments should be—

1) All capital letters; and

2) In a single line of 100 characters or less for landscape page setup.

   - Use 60 characters or less for portrait page setup

The user can actually make the comments as long as they would like to ensure clarity.

INI GKP
Comments: THESE ARE GARY PERKINS' UNFINISHED MRA
Include report description
Unfinished MRAI [Inspector]
Description: Provides an inspector a listing of his unfinished MRAI inspections
Report Filter: PE = R, INI = GKP, ACTION = P
Comments: THESE ARE GARY PERKINS' UNFINISHED MRAI

13.14 MORE SPECIFIC SORTING (DRILL-DOWN)

13.14.1 SORTING REPORT COLUMNS [HTML]

Remember that any column of the report can be used to change the sort order of the report.

1) Clicking in the header will cause the initial sort. It may be either ascending or descending.

2) Clicking a second time will reverse the sort order of that column.

13.14.2 SORTING REPORT COLUMNS [EXCEL]

An report developed by using the EXCEL Report Extraction Feature may also be sorted either ascending or descending.

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13.15 REPORT PAGE SETUP

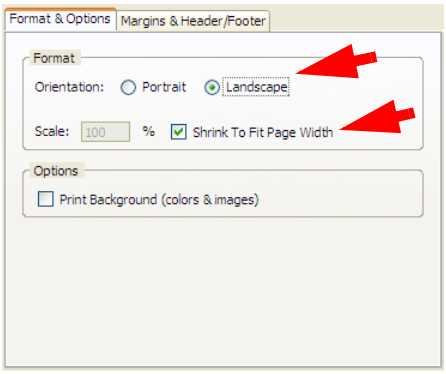
A. The reports have default page setups for the printing of the reports.

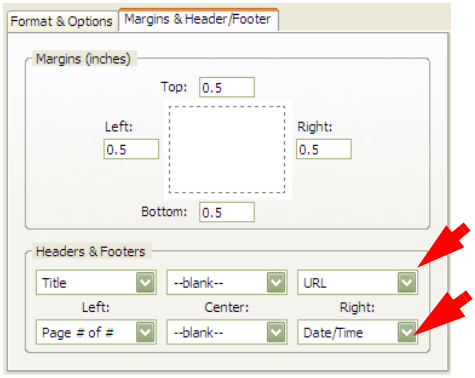
Revision of the report page setup by one user will not affect those of other users.

B. Those page setting can be reviewed by selecting **File> Page Setup**

Normal users should NOT revise the report default page setups.

C. The user may change the page setup by selecting the revisions, then click **OK**.





D. The most frequent user revisions to the page setups have been to—

1) Change the orientation from landscape to portrait; and

2) Delete the URL from the top right header.

E.

End of Chapter

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Chapter 14
Creating Custom Reports

14.1 PURPOSE OF A REPORTS GENERATOR

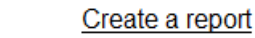
A. The Ad-Hoc Reports Generator is provided for the user to develop non-standard reports of his choosing and for uses not available in the Standard reports provided with the database.

B. It was developed at the request of users who need to manipulate the data to search for or provide special reports for management.

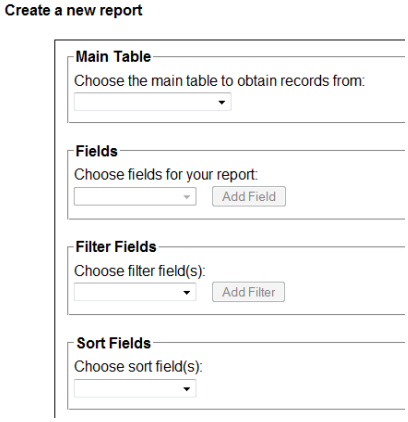
14.2 INITIATING AN AD-HOC REPORT

1) From the Home Page, select the tab ***Reports*;**

2) At the bottom left of the page, select the link **Create a Report**;



3) That will bring up the Reports Generator page;



14.3 SETUP OF THE AD-HOC REPORT

14.3.1 MAIN TABLE SELECTION

The main table selection focuses the report on a specific table and sub-tables to that table.

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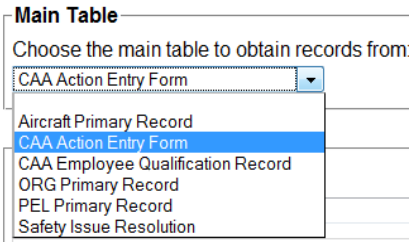
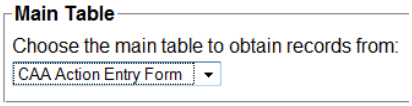
1) Move to the "Main Table" section and select the drop-down menu.



   - That action will bring up the list of available tables that can be searched using the reports generator.
   - This example list is being revised to include all primary tables listed on the Home Page

2) The selected table will be displayed in the Main Table portion of the Reports Generator;

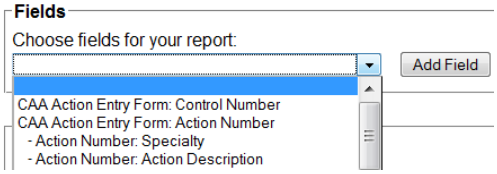


3) When the Main Table has been selected - move to the selection of the Fields for the report.

14.3.2 SELECTION OF REPORT FIELDS

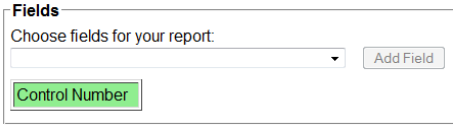
The next portion of the setup of an ad-hoc report is to select the fields that will be displayed in the user's report.

1) Select the drill-down arrow to display a long list of possible fields for selection in the report—


Fields
Choose fields for your report:
Add Field
CAA Action Entry Form: Control Number
CAA Action Entry Form: Action Number
- Action Number: Specialty
- Action Number: Action Description

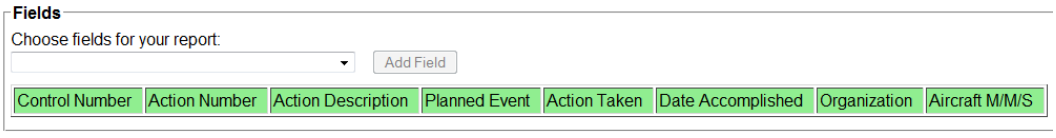
   - Note that the actual selections must be carefully done until the user becomes familar with all of the possible selections and the information that is provided.
   - The possible selections includes a significant amount of information that is actually "behind-the-scenes" when using the database.
   - Note that the sub-table information is displayed in the list by a dash. For example, the creators recommend that, for most reports, the user should select the ***CAA Action Entry Form: Action Number*** and also the associated sub-table entry ***–Action Number: Action Description***. But the ***Action Number:Specialty*** = the inspector technical specialty will rarely be used.

2) Select a field for use in the report, then select Add Field;



   - The field that is added will appear in green colored box immediately below.
   - The info in the green box will be the "Label" that will appear in the ad-hoc report.

3) The user should repeat the field selection process until all the fields that are desired for the report have been selected.



   - The user should be aware that the report protocol require that all of the fields for a particular file must appear in a single line in the report.

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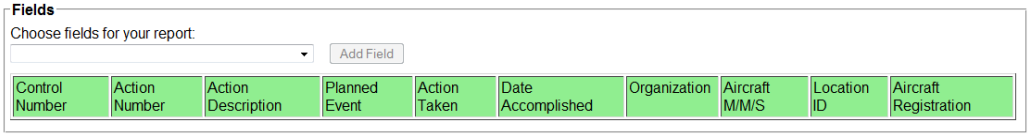
- The fields will attempt to compress the labels as the user selects more than "words" than will fit in a single line.



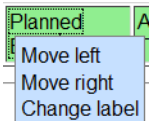
4) When all of the desired fields for the report are selected - take the time to edit the field labels.

14.3.3 EDITING THE FIELD LABELS

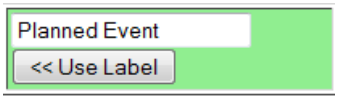
If the headers are beginning to compress, the user should condense the ad-hoc report labels. The only limiting factor is the actual data that will be in data fields.

- For example, "Planned Event" will have only a single letter in the data field, so that label could be shortened to one or two letters, such as "PE." The "Date Accomplished" field will have 10 characters of data, so the label could be 10 characters or less, such as "Date."

1) Place cursor on the label that is to be changed;
2) Click on the field to bring up the menu;

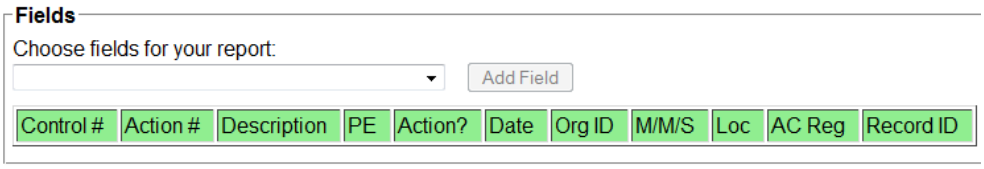


3) That action will display the current label name;



4) Type in the desired label name;
5) Select ***Use Label*** to insert the new label name;

6) Repeat the process as necessary to change all of the labels; and

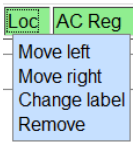


7) Add any additional fields.
8) When the labels are setup - move to the setup of the Filter Fields.

14.3.4 REARRANGING OR REMOVING THE FIELDS

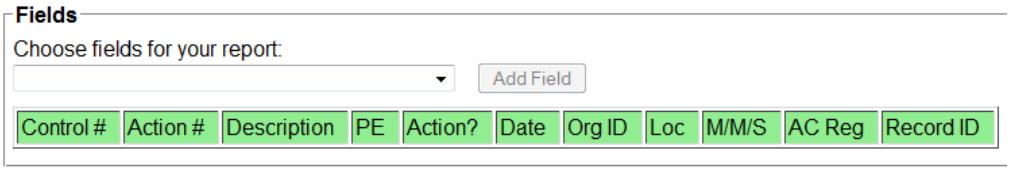
14.3.4.1 Rearranging a Field

To rearrange a field—



1) Select a field to move;
2) Click on the field to bring up the menu;
3) Select either ***Move Left*** or ***Move Right***;

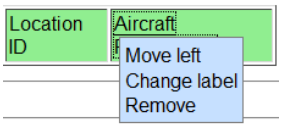
4) The chosen field will move one space in the direction selected



14.3.4.2 Removing a Field

It is very easy to remove a field—

1) Place the cursor on the field that is to be removed.
2) Left-click on the field to bring up the menu;
3) Select ***Remove***;
4) The field is no longer displayed in the list.



14.4 SETUP OF THE FILTER & SORT FIELDS

14.4.1 FILTER FIELD SETUP

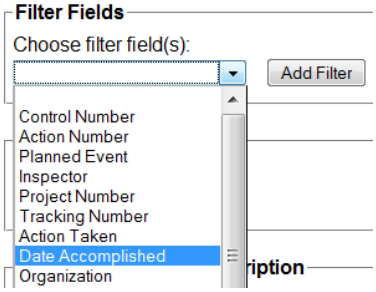
A. The Filter Fields can be any fields that are a part of the Main Table, even those that do not appear in the report.

B. Filter Fields may contain—

- Blank filters in which the desired filter must be entered when a report is being requested; and/or
- Filters entered during the development of the ad-hoc report

C. Procedure for setting up the filter fields is—

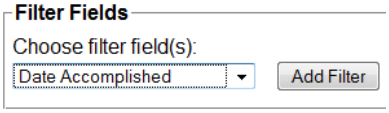
1) Select the drop-down menu for the Filter Fields



- ♦ The resulting drop-down menu will contain every field in the selected Main Table, even those that are not currently selected for display in the ad-hoc report.
- ♦ The user may select any field or fields as a filter.

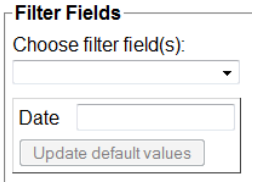
2) Select the desired filter field;

- ♦ That action will insert the desired filter field in menu line;



3) Select ***Add Filter***;

- ♦ That action will bring up the new filter field immediately below the drop-down menu line.
- ♦ In this case the date field will be left blank, because the user intends that the filter will be filled in (either a single date or range of dates - see paragraphs 13.5.2 and 13.53 of this chapter) when the actual report is being requested.



- ♦ If the user inserts a default value in a Filter Field, it will be necessary to select the ***Update default values*** button to save the value in the field. Examples of a default value would be a specific Organization Identifier, Aircraft MMS, Inspector Initials, etc.

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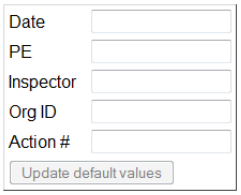
4) Repeat the above steps to add a new filter field(s);

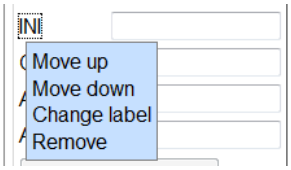


- In this example, all of the fields have been left blank so that the person may enter these values at the time the ad-hoc report is used.
- Any filter values that are left blank will not be filtered in the report - so at least one filter will have to be completed when the actual report is desired.

5) When the Filter Fields are setup - move to the setup of the Sort Field(s).

14.4.2 REORDERING, REVISING OR REMOVING FILTER FIELDS

A. To reorder, change label or remove a filter field—



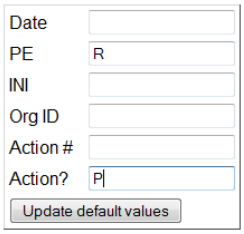
1) Place the cursor on the field label;
2) Click on the label to display the menu;
3) Select the choice from the menu.

B. Because the labels actually appear in the printed report as "filters," the CASORT development team recommends that the labels be understandable for other readers.

14.4.3 RESTRICTING DEFAULT VALUES

A. During the setup of the Filter Fields, the user may choose to have some fields to restrict the report results to specific values.

B. The example to the right illustrates how certain Filter Fields restrict the report results to records containing specific values.



- The example Filter Field for Planned Events is restricted to ***R = Minimum Required Annual Inspections***
- The example Filter Field for Action Taken will restruct results to records containing ***P = Planned***.
- After entering these default values, be sure to select ***Update default values*** before moving to other portion of the reports generator.

- Remember: The restricting value must appear in the records in order for the report to retrieve the records..
- In this example, if no records contain a R in Planned Events and/or a P in Action Taken, no records will be retrieved..

C. In this example, all other fields are left blank to when the report is developed, to allow the user at the time of running the report to either—

1) Not stipulate a restricting value by leaving a field blank; and/or
2) Insert a restricting value in a Filter Field at the that time.

14.4.4 SELECTING THE SORT FIELDS

A. There can be up to three sort fields for an ad-hoc report.

B. The ad-hoc report fields will be sorted in the order they are selected during the Sort Field setup.

C. The Sort Fields are from the list of fields that is provided by the Reports Generator. The only fields provided in the list will be those selected for display in the ad-hoc report.

D. The procedure for setup of the Sort Fields is—

1) Select the drop-down arrow;

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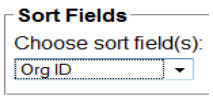
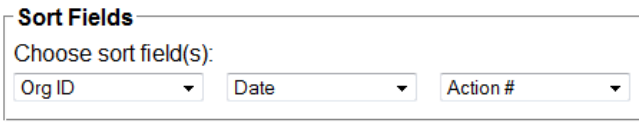
2) A list of choices will appear, select the choice for Sort Field #1;



3) That field appears in the first Sort Field;

4) Another blank sort field appears to the right of Sort Field #1;

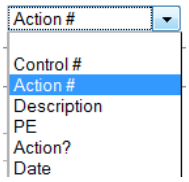
5) Repeat the steps to setup up to three sort fields;



6) When the Sort Fields are selected - move to the naming and description of the report.

14.4.5 REVISING OR DELETING SORT FIELDS

A. To revise a sort field—



1) Start at the field on the right;

2) Click on the drop-down menu arrow;

3) That action will bring up the list of possible sort field;

4) Select the new sort choice.

B. To delete the sort field, select the blank space at the top of the list. That action will leave the sort field blank. If the Sort Field 1 or 2 (numbering from left) was the one the user wanted to delete, move the sort choices(s) to the left, leaving the Sort Field 3 blank

C. It is best practise to always have at least one Sort Field for a report.

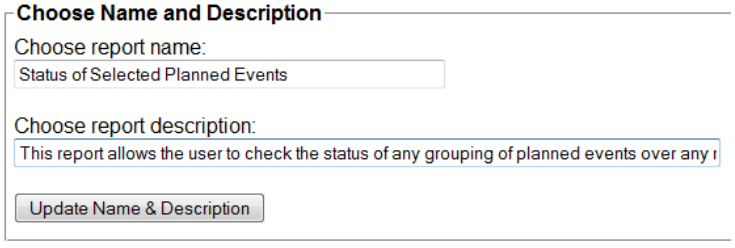
14.5 NAMING & SAVING THE REPORT

In order to save the ad-hoc report, the report must be named and described, these are required fields if the user is to save the report—

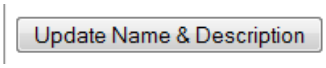
1) Enter a report name that will cause a user to choose the report for a purpose;

2) Enter a report description that describes why the user would choose the report;

If necessary to revise either name or description, the correct method is to overwrite.


Choose Name and Description
Choose report name:
Status of Selected Planned Events
Choose report description:
This report allows the user to check the status of any grouping of planned events over any
Update Name & Description

3) When the report name and description are satisfactory, select the ***Update Name & Description*** button.



4) That action will cause the ***Save Report*** button to appear, select that button;

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5) That action will take the user to the Home Page, where the banner ***Saved report successfully*** will appear.

6) The report is now installed in the database under the ***Reports tab>My Reports***.

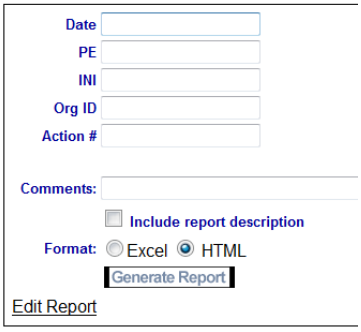
14.6 ALTERNATIVE: RUN THE UNSAVED REPORT

A. If, instead of naming and saving the report, the user chooses just to run the report—

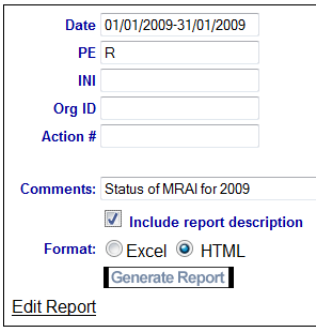
1) Select the link Run Report located in the bottom left of the page;

2) That action will bring up the Report Filters for the Unsaved Report;

Report Filters
[Unsaved Report]



Report Filters
[Unsaved Report]



3) Insert any specific values that might be desired;

4) Select the ***Generate Report*** button;

- ♦ This action will allow the user to determine if the ad-hoc report is working correctly before saving it.

The CASORT development team recommends that the report be named and saved before leaving the reports generator.

14.7 ACCESSING A PREVIOUSLY SAVED REPORT

To access a previously saved report, the user should—

1) Select the ***Reports*** tab on the Home Page;

2) Near the bottom of the page there will be a new link, My Reports, where the any saved ad-hoc reports developed by the user will be located;

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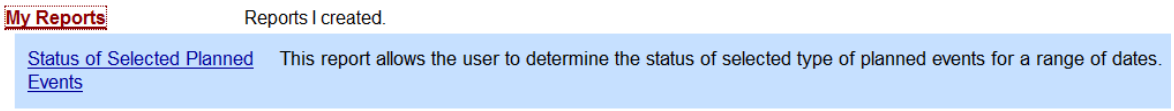
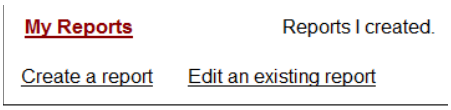
3) Click on the My Reports link and it will open a list of reports that the user developed.


My Reports
Reports I created.
Status of Selected Planned Events
This report allows the user to determine the status of selected type of planned events for a range of dates.

4) The Report Filters for the selected report will be displayed.
5) Complete the filters as desired;
6) Select the ***Generate Report*** button;

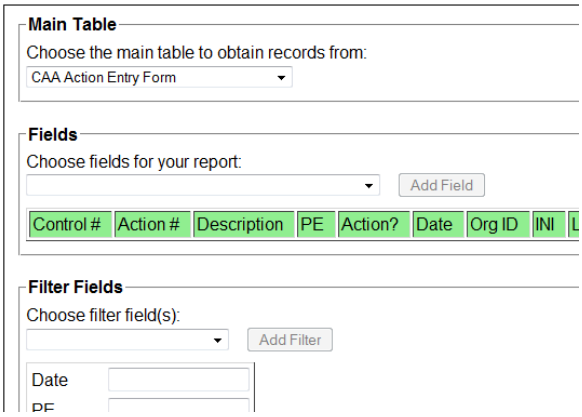
14.8 EDITING AN EXISTING AD-HOC REPORT

To edit an existing ad-hoc report—



1) From the Home Page, select the ***Reports*** tab;
2) At the bottom of the reports page, below ***My Reports***, select ***Edit an existing report***;
3) Selecting the link will display the reports generator;
4) Now select the drop-down menu labeled Choose a report to edit;
5) That action will display the list of reports that the user may edit;

6) Select the existing report to edit;
7) That action will display the complete information contained in the reports generator for that specific report;
8) Follow the guidance provided for selection, removal or replacement of the individual fields and choices in the reports generator.
9) Remember to Save the revised report.



14.9 ADDING AN AD-HOC REPORT AS A STANDARD REPORT

A. The CASORT development team welcomes the submission of ad-hoc reports as Standard Reports for all database users.

B. First, set it up as an ad-hoc report, then contact the CASORT team for further instructions for the submission.

End of Chapter

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Chapter 15
Document Control Database

This chapter provide guidance for the preservation, filing and accessing of critical CAA documentation by—

- Capturing the documents as digital (PDF) files;
- Through an existing CASORT document upload feature;
- Using primarily existing CASORT parameters (control number, project number, organization identifier, PEL license number, inspector names, etc.)
- Where the documents are default filed in chronological order; and
- Can be viewed in listings using existing CASORT View, Sort and Search capability
- Can be accessed controlled where necessary;
- Can be retrieved through existing CASORT capability;
- Copied, printed or e-mailed (by users with the appropriate permissions)

15.1 ADVANTAGES OF DOCUMENT CONTROL

A. The Document Control database allows the CAA to capture critical document evidence that is associated with the other databases in the CASORT Suite.

B. It is possible to then view that record from the—

- Document Control View Page (where a full search may be made); or
- Specific database record that caused the document to be generated.

C. A document uploaded to the Document Control database can presently be viewed from the following database record (depending on the supporting information)—

- CAA Action Records (linked by Control Number)
- Safety Concern Records (linked by SI Number)
- Administrative Tracking Records (linked by ADM Number)
- PEL Records (linked by PEL number)
- Aircraft Records (linked by aircraft registration)
- Organization Records (linked by Org Id)
- Investigation Records (linked by INV number)
- CAA Employee Qualification Records (linked by employee number)

15.2 DOCUMENTS ATTACHED TO SPECIFIC CASORT FILES

A. The proper insertion will make those documents available with the Action record that resulted in their generation.

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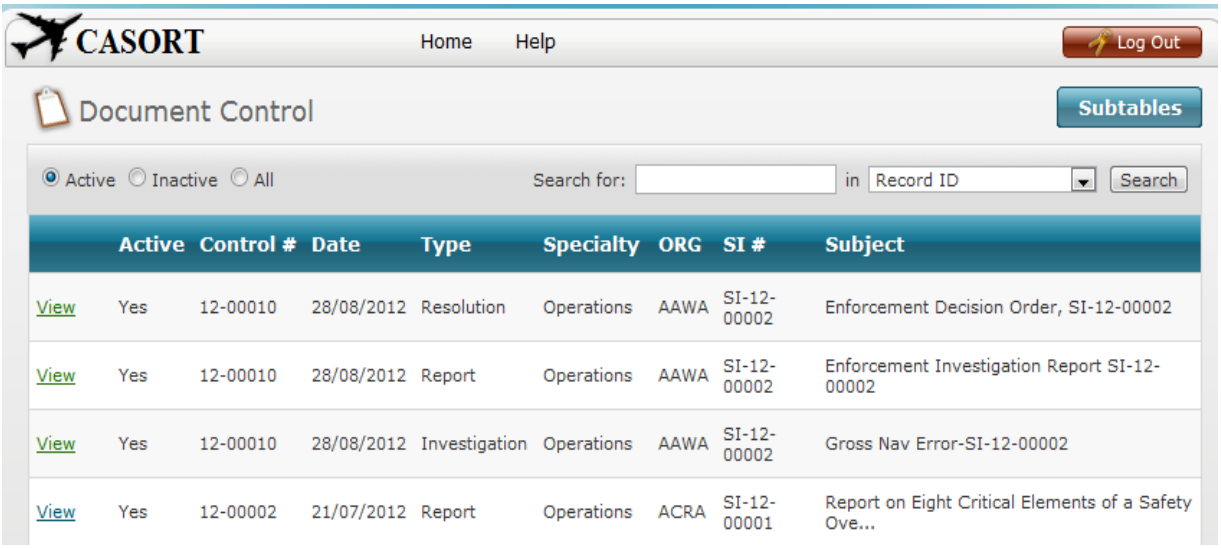
15.3 VIEWING DOCUMENT CONTROL LISTING

15.3.1 VIEW FROM HOME PAGE

A. To view the Document Control library contents, from the Home Page, select the ***View*** button on the Document Control Bar.

B. That action will cause the Document Control View Listing to appear.



	Active	Control #	Date	Type	Specialty	ORG	SI #	Subject
View	Yes	12-00010	28/08/2012	Resolution	Operations	AAWA	SI-12-00002	Enforcement Decision Order, SI-12-00002
View	Yes	12-00010	28/08/2012	Report	Operations	AAWA	SI-12-00002	Enforcement Investigation Report SI-12-00002
View	Yes	12-00010	28/08/2012	Investigation	Operations	AAWA	SI-12-00002	Gross Nav Error-SI-12-00002
View	Yes	12-00002	21/07/2012	Report	Operations	ACRA	SI-12-00001	Report on Eight Critical Elements of a Safety Ove...

- The Document Control View Listing is defaulted to show the most recent documents entered.
- This default allows the persons assigned to insert the documents to always be working at the top of the list.
- The user may “column sort” as a quick method of referring to recent documents (such as forcing the date column to sort in ascending order).
- Otherwise it will probably be best to “Search for” a document (refer to next sub-section).

15.3.2 ACCESSING A SPECIFIC DOCUMENT

A. To View a specific document, select the View link in the left column for the record that you would like to access..

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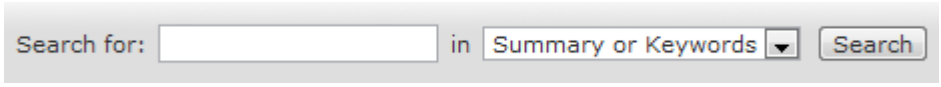
B. That action will bring up the View Page for the Document file.

- Note the ***Unlock*** link in the top right corner. This record is locked by the Database Administrator and may not be revised.
- This is the normal status of these records They are not editable except by special management decision.

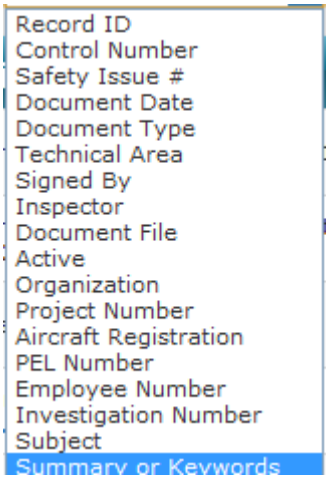
C. The user must select the ***Document File*** link to open the actual document for review and print, if required.

15.3.3 CONDUCTING A SEARCH OF DOCUMENT CONTROL

A. At the top of the view page is the standard Search feature of CASORT software.



B. Selection of the drop-down menu to the right side of the search feature allows the user to drop-down a menu of all of the fields in this database.w



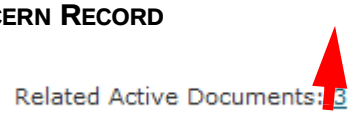
- Selection of any of these field labels will insert it for search.
- Note that Summary or Keywords is selected.

C. Now the user will place the word(s) and/or number(s) to be searched.

D. That search will display all files that have that value in the search field.

15.3.4 ACCESSING A DOCUMENT FROM ANACTION OR SAFETY CONCERN RECORD

A. If a CASORT record has one or more related documents in the Document Control database, a value will be display at the bottom of that record.



- Note that this record has 3 related documents in the Document Control database.

B. To access those database records and documents, the user must put the cursor on the number and select it.

C. That selection will display the record if there is only 1 document. In this example, because there is more than 1 document, the selection will display a listing of the 3 documents..

	Active	Control #	Date	Type	Specialty	ORG	SI #	Subject
View	Yes	12-00010	28/08/2012	Resolution	Operations	AAWA	SI-12-00002	Enforcement Decision Order, SI-12-00002
View	Yes	12-00010	28/08/2012	Report	Operations	AAWA	SI-12-00002	Enforcement Investigation Report SI-12-00002
View	Yes	12-00010	28/08/2012	Investigation	Operations	AAWA	SI-12-00002	Gross Nav Error-SI-12-00002

D. To access the document the use must select the View for the desired record.

E. Then select the ***Document File*** link to open the actual document for review (and print if required).

15.4 BE CAREFUL WITH YOUR SERVER MEMORY

A. The recommended protocol for Document Control is to USE IT SPARINGLY. The only documents that should be attached are key evidence such as for—

- CAA Action: approval letters.
- Safety Concern: resolution docs such as letters and enforcement investigation report.
- Qualification: PEL licenses, course certificates; OJT completion
- Aircraft Approvals: applications, copies of certificates.
- Organizations: approval termination documents:

B. Definitely DO NOT give this feature to the inspector workforce. The use of memory can easily get out of control.

- Inspectors like to keep pictures and other memory intensive documents.
- They seldom take the time to compress or optimize documents.
- There seems to be a culture of collecting useless (more-is-better?) information as records

- Uncontrolled scanning of documents can, with one scanned page be 7,734k gif (picture) file or even a 24,454k picture file.
- This size of document would be UNACCEPTABLE for insertion into Document Control.

15.5 INSERT ONLY CRITICAL DOCUMENTS

15.5.1 DOCUMENTS AS EVIDENCE

A. It is important that only the documents that can be considered to be “important” or “evidence” be inserted in the database. Examples of the types of documents that should be considered are—

- Correspondence relating to CAA approvals, investigations and safety concern resolution.

- Do not allow inspectors access to insert documents directly.
- This can lead to a tremendous number of unnecessary documents being inserted.
- These documents will clutter up the Document Control database, SEVERELY complicating subsequent searches for specific documents.

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- Reports relating to accidents, incidents, enforcement and other safety concern resolution.

B. The CAA managers must enforce the requirement for a management review before any document is inserted into the Document Control.

C. All documents inserted in the Document Control will be locked (not available for edit) immediately after insertion.

D. No subsequent revision to the record or the document will be allowed without the revising request documents showing coordination with the Director General.

15.5.2 DOCUMENT CONTROL ENTRY POINTS

A. The user "permission" to use this feature should be given only to designated and trained administrative "save" persons (trained to scan in searchable PDF files & optimize these files).

- Each Document Control Entry person should have a high-speed, 2-sided scanner and a copy of the Acrobat Professional software for these trained insertion people.

B. Most small CAA organizations will need only 1 entry point that has been trained to rigidly adhere to insertion protocols, including—

- Insertion of only documents specifically identified in the protocols
- Insertion of word-searchable PDF documents that have been optimized

15.6 PREPARATION OF PDF SEARCHABLE DOCUMENT

The following process will be required to prepare and quality control the documents for upload to the Document Control database—

15.6.1 DIGITAL FILE OR SCANNED FILE

1) Complete the Document Control Request Form and attach a clean copy of the document to be uploaded.

   ♦ If the document is a current PDF that does not need to have the original signatures preserved by scanning may be provided to the Document Control person through e-mail or CAA file reference.l

2) Scan the document—

   ♦ The document should be scanned only after it is finalized, signed and date-stamped.

It will not be necessary to scan a document that is already a PDF file and does not require a signature.

15.6.2 PDF SEARCHABLE

Preferably during the scanning, use Acrobat Pro to make the document OCR and "PDF searchable" (accessible)

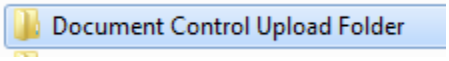
- This will dramatically reduce the memory required for storage of the document
- This prepares the document for the eventuality of a need to word search the entire repository of documents via PDF full searches.

Some scanners will automatically make the document PDF-Searchable.

The Database Creators plan to provide a separate PDF search window for quick referencing separate from Document Control.

15.6.3 PLACE INTO "HOLDING FILE"

The scanned document should be saved to a "holding" folder where it can be prepared for insertion into the Document Control database.



- All PDF files should be inserted in this "holder" folder for insertion processing.

- Documents in other software should be converted to PDF before further processing into Document Control.

15.6.4 CONSIDER CONSOLIDATING LARGE DOCUMENTS

If the total document was larger than the page capability of the scanner, consider consolidating the generated files into one document using the Acrobat Pro.

15.6.5 CONSIDER OPTIMIZING

All PDF searchable documents should then be optimized for better storage.

15.6.6 INSERT IN DOCUMENT CONTROL

A. Follow the File Upload protocol to insert the document into the database.

> Refer to paragraph 15.7 for upload protocol.

B. Check that the document was inserted, is accessible and readable.

15.6.7 NOW DELETE THE RECORD FROM HOLDING FOLDER

After confirming that the record is now in the Document Control database, delete the file from the "holding" folder.

> It is important to keep the holder folder clear of all files that have already been inserted.

15.6.8 LOCK THE DOCUMENT CONTROL RECORD

It is very important to prevent change to the records available in the Document Control database.

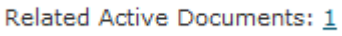
> Make sure the record has been "locked" before leaving it.

15.7 DOCUMENT CONTROL DATABASE FIELD ORIENTATION

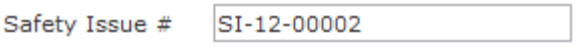
A. Selecting Enter on the Document Control bar will bring up the Document Control Entry form—

1) **Control Number.** Enter the Control Number of the Action record which generated this record.

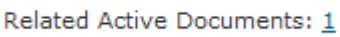
- This will cause the CASORT software to insert a link at the bottom of the Action record with this Control Number indicating that there is at least one document relating to this record in the Document Control database.



2) **Safety Issue #**. If there was a safety concern relating to document for upload, enter the Safety Issue number for that concern.



- This will cause the CASORT software to insert a link at the bottom of the Safety Concern record indicating that there is at least one document relating to this record in the Document Control database.



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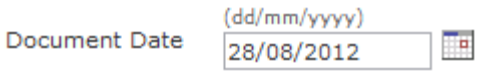
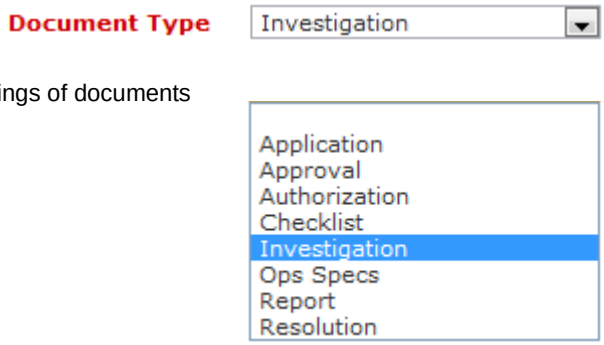
3) **Document Date.** The database auto-fills the date field to the current date.



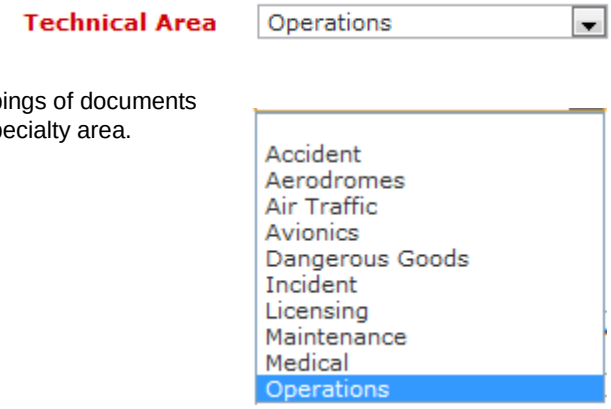
- But this date should be revised as necessary to be the official date indicated on the correspondence.

4) **Document Type.** This field allows selection of the type of document from a drop-down menu



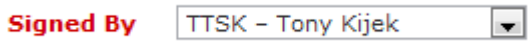
- This selection will be used for later groupings of documents for report purposes.

5) **Technical Area.** This field allows selection of the technical area from a drop-down menu.

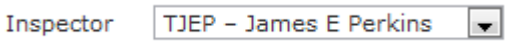


- This selection will be used for later groupings of documents for report purposes into their technical specialty area.

6) **Signed By.** This is a drop-down menu to allow the selection of the initials and name of the CAA person who signed the document.



7) **Inspector.** This a drop-down menu to allow the selection of the initials ad name of the person who originated the need for and the draft of the document.



8) **Document File.** This is the label for the upload feature that initiates the sequence of browsing to and uploading the document.

9) **Subject.** This a large text field that allows the subject or title of the document - usually the official subject as shown on the document - to be available for separate search. This field enables a search for specific words in the subject or title.

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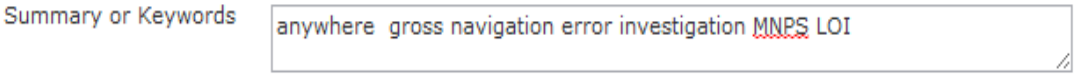
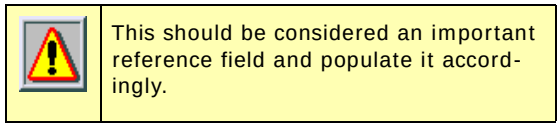
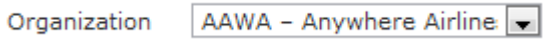
10) **Summary or Keywords**. This is a large text field is provided to include keywords from the document that would allow keyword searches for the document or grouping of documents.



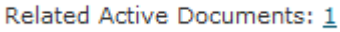
- During the initial period of entry, this will seem like an unnecessary field..
- But after thousands of documents have been inserted, this field will provide quick references for searches.



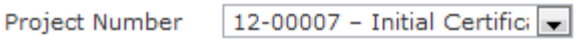
11) **Organization.** This is a drop-down field providing access to the list of organizations certificated by the CAA.



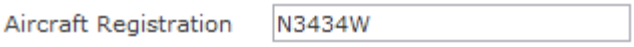
- This will cause the CASORT software to insert a link at the bottom of the applicable Organization Primary record indicating that there are documents relating to this organization in the Document Control database.



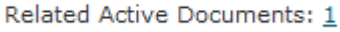
12) **Project Number.** This is s drop-down menu which allows the CAA to "bundle" all documents relating to a high-profile project, such as initial certification.



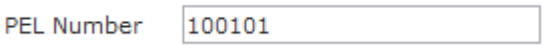
13) **Aircraft Registration.** This is a text field to allow the CAA to "bundle" all documents relating to a particular aircraft registered by the CAA.



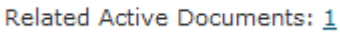
- This will cause the CASORT software to insert a link at the bottom of the applicable Aircraft Primary record indicating that there are documents relating to this aircraft available in the Document Control database.



14) **PEL Number.**This is a text field to allow the CAA to "bundle" all documents related to a particular PEL license holder.

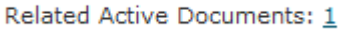


- This will also cause the CASORT software to insert a link at the bottom of the PEL Primary record for this license holder indicating that there are documents relating to this person stored in the Document Control database.



15) Employee Number. This is a text field to allow the CAA to "bundle" all qualification documents related to a particular employee.

- This will also cause the CASORT software to insert a link at the bottom of the Qualification Primary record for this employee holder indicating that there are qualification documents relating to this person stored in the Document Control database.



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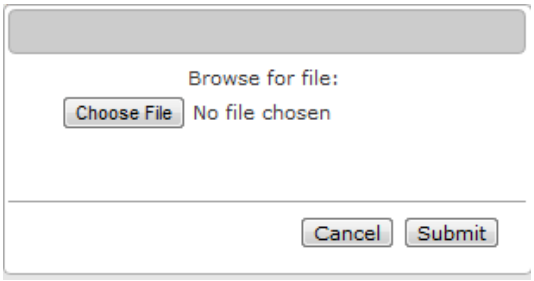
15.8 UPLOADING THE DOCUMENT TO THE DATABASE

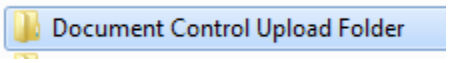
To upload a document to the Document Control database—

1) From the Document Control Entry form, select the ***Upload*** button located next to the label "Document File;

2) This selection will cause a message box to appear. From that box, select ***Choose File***;

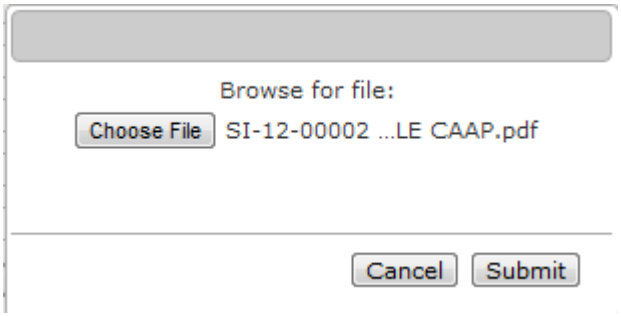


3) The selection will cause a Windows Explorer screen to appear. Browse to the document file (which should be located in the "holding" folder;



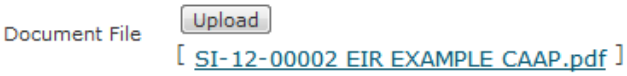
4) Take the time to check the file to ensure that it is the proper title and, where possible, is a small file. (Note that the example file is a 4 page report using only 68 KB of memory.)

5) Select this file. Check that the title now appears in the message box..



6) Select ***Submit*** to upload the file.

7) Now the name of the file should appear in the Document Control Entry form..



8) Complete all required fields and select Go to leave the record.

9) Then select View Record just Entered to check that the record is complete and satisfactory.

   ♦ Open the document one last time to ensure that it is readable.

10) Now go to the CASORT records which should contain the links to see that the links are there.

	Small errors in numbering during the document control entry could cause the links to be placed on the wrong records

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Make sure the record has been "locked" before leaving it.

End of Chapter

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Chapter 16
Incident Reporting Database

This chapter will provide guidance for the reporting and tracking of issues, correspondence and document processing that are not safety concerns

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Chapter 17
Systems Administrator Panel

This chapter provides guidance for the SysAdmin administrative functions for—

- Activating new users
- Deactivating old users
- Setting the technical specialties
- Setting the permissions for a user
- Resetting a user password
- Managing images

17.1 BACKGROUND

A. The original CASORT database was designed for use by small civil aviation authorities, assuming that there would be approximately 10 semi-permanent users. This has changed dramatically in the past 5 years.

- Some CAAs currently using the database now have 30+ users.
- There have also been significant changes (activations and inactivations) to the user population.
- The database has grown more complex, with features that should not be accessed by the entire user population.

B. The current Admin Panel isolates critical functions from general accesss and allows an assigned person with general computer skills to perform the following functions to—

1) Create new users
   - ♦ The database recognize the new user on log-in and cause their initials to appear as possible selections in the “inspector” fields);
2) Edit users to change their “role,” (user permissions);
3) Reset user passwords when necessary;
4) Disconnect users from the database in order to perform administrative functions;
5) De-activate users
   - ♦ On deactivation, the database will stop recognizing the user on log-in and their initials will no longer appear as selections in the “inspector” fields.

17.2 DEFINITIONS

A. “**Permissions**,” as related to the CASORT database, refers to the capabilities that are assigned to the individual user to—

1) View records;
2) Create records;

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3) Edit records for which they are the "owner;"

4) Edit records "owned" by others; and

5) Perform other specialized tasks.

B. "**Owner**" (of a record), as related to the CASORT database, refers to the user that—

1) Originally entered the record, or

2) Has been assigned the record by a supervisor (who edits the record to change the inspector field).

17.3 ADMIN PANEL HOME PAGE

On log-in, the SysAdmin will receive the Admin Panel Home Page depicted on the below.

1) Selecting the **Manage** button on the Users bar will take the SysAdmin to the screen that was originally the Admin Panel.

2) Selecting the **Manage** button on the Permission bar will take the SysAdmin to the new permissions screen (see paragraph 14.4).

3) Selecting the ***Manage*** button on the Images bar wll take the SysAdmin to a screen that will allow the secure storage of signatures and seals for use on government documents.

17.4 MANAGE USERS

17.4.1 MANAGE USERS FUNCTIONS

The primary Manage Users functions include the ability to—

1) **Reset Passwords—**

(a) Clicking on the ***Reset Password*** link will delete the user's password;

(b) A new temporary password will appear in a blue banner;

(c) Provide the temporary password to the user to allow them to re-set a password of their preference.

2) **Disconnect Users—**

- Be EXTREMELY careful with the admin password link.
- There is a high incidence of SysAdmin resetting and not remembering the correct password, thus locking themselves out of the Admin Panel.

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(a) When a user is logged into the CASORT database, the link for "Disconnect" will appear.

(b) Clicking on the ***Disconnect*** link will cut the user out of the database.

(c) The best course of action is to notify the user by email or phone to get out of the database.

- This disconnect action will delete the user's passord.
- It will be necessary to then provide a new temporary password.

(d) If the SysAdmin takes this disconnect action, the next action should be to send an email of explanation with a temporary password.

Manage Users

Username	Initials	First Name	Last Name	Active	Actions
admin	ADM	System	Admin	Yes	Edit | Disconnect | Reset Password
cfedderwitz	CLF	Charles	Fedderwitz	No	Edit | Disconnect | Reset Password
gperkins	GKP	Gary	Perkins	Yes	Edit | Disconnect | Reset Password
jperkins	JEP	James	Perkins	Yes	Edit | Disconnect | Reset Password
kperkins	KSP	Kip	Perkins	Yes	Edit | Disconnect | Reset Password
lkreider	LLK	Larry	Krieder	Yes	Edit | Disconnect | Reset Password
lvaughan	CLS2	Larry	Vaughan	Yes	Edit | Disconnect | Reset Password
msinclair	MLS	Mal	Sinclair	Yes	Edit | Disconnect | Reset Password
phlavaz	PCH	Paul	Hlavaz	Yes	Edit | Disconnect | Reset Password
prolle	PLR	Patrick	Rolle	No	Edit | Disconnect | Reset Password
rbutler	RLB	Randy	Butler	No	Edit | Disconnect | Reset Password
rmontgomery	RLM	Ron	Montgomery	No	Edit | Disconnect | Reset Password
tkijek	TSK	Tony	Kijek	Yes	Edit | Disconnect | Reset Password
tneel	TN	Tim	Neel	Yes	Edit | Disconnect | Reset Password
vlepera	VLL	Vince	Lepera	Yes	Edit | Disconnect | Reset Password

Create New User

3) **Edit Users—**

(a) Clicking on the ***Edit*** link will allow the SysAdmin to edit the user information.

(b) It will bring up an screen showing the current user information. All fields except the user nambe and initials may be edited.

4) **Deactivate Users—**

(a) It is possible for the SysAdmin, while in the Edit function, to deactivate the user.

(b) When a user is deactivated, a "No" will appear in the "Active" column.

5) **Create New User.** Clicking on the Create New User link will bring up entry form with blank fields for creating a new user.

17.4.2 CREATE NEW USERS

17.4.2.1 General Procedure

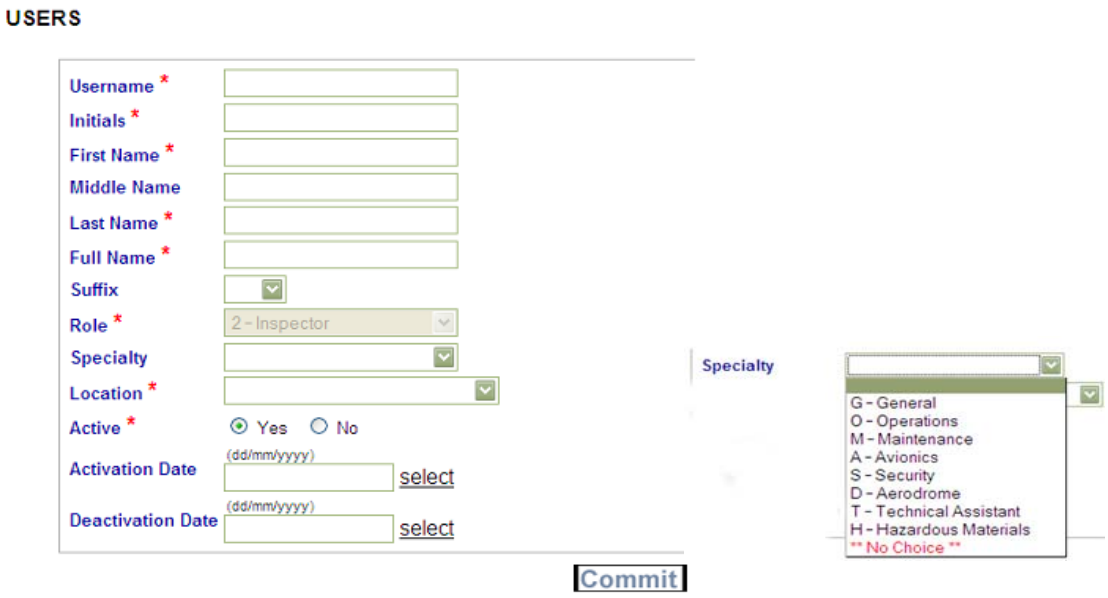
The completion of the creation of a new user is accomplished by the following steps—

1) Enter a username using all lower-case letters in a consistent protocol for all users;

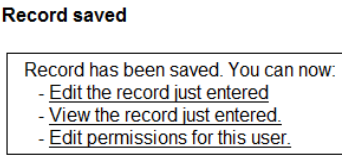
   ♦ For example, first initial and last name for Larry Vaughan is "lvaughan."

- Be very careful entering a username and user initials.
- After the new record is saved, it will be impossible to change these two fields.

2) Enter the employee's initials using least 3 capital letters in a consistent protocol for all users;
   - ♦ For example, GKP for Gary Kenneth Perkins
   - ♦ If no middle name, add a middle character to get the 3 initials, such as GXP
   - ♦ Consider using a prefix letter for all users, such as A= Anartica, or AGXP.
3) Enter the user's name in normal fashion, with the first letter of the name capitalized and the remainder of the name is lower-case letters.



4) Enter the user's middle name using the protocol specified in paragraph (3). If there is no middle name - this field may be left blank;
5) Enter the user's last name using the protocol specified in paragraph (3);
6) Enter the user's full name using the protocol specified in paragraph (3);
   - ♦ Use of only the first and last name is recommended.
   - ♦ This is the field that is normally displayed in the database.
7) The suffix is normally left blank, but in some cultures the suffix is required.
8) No selection is possible for Role;
   - ♦ The "Role" drop-down menu (which was previously used to assign permissions) has been deactivated and is "greyed out" to indicate that this field is no longer in use.
9) Using the drop-down menu, select the user's technical specialty;
10) Using the drop-down menu, select the user's normal work location;
11) Ensure that "Active" radial button is selected "Yes;"
12) Click on the ***Select*** link beside the Activation Date and select the correct date;
13) ***GO*** to leave the record;
14) The ***Record Saved*** menu will appear;


Record saved
Record has been saved. You can now:
- Edit the record just entered
- View the record just entered.
- Edit permissions for this user.

17.4.2.2 Edit Permissions

Now edit the permissions for this user—

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1) From the Record Saved menu, select ***Edit permissions for this user***;
2) This will bring up the Manage Permissions page for this user;
3) Now take the necessary steps to load permissions for the new user.

More specific instructions on this task are provided in the Manage Permission section of this chapter for more specific instructions.

17.4.2.3 Set Temporary Password

It will now be necessary select the ***Home*** tab to go to the Admin Home Page—

1) Select the ***Manage*** button on the Users bar;
2) For the new user, select ***Reset Password***;
3) Provide this temporary password to the user;
4) Log-out.

17.4.3 EDIT USER

A. To edit a user, from the Admin Home Page—

1) Select the ***Manage*** button on the Users bar;
2) For the specific user, select ***Edit***;
3) Make the necessary edits;
4) If deactivating—
   (a) Select ***No*** radial button for "Active" and
   (b) Select the ***Deactivation Date***;
5) Go the Admin Home Page;
6) Reset the user's password;
7) Provide the temporary password to the user;
8) Log-out.

All fields except the username and user intials may be revised.

Remember that the user's password is deleted every time the Edit link is selected for that user.

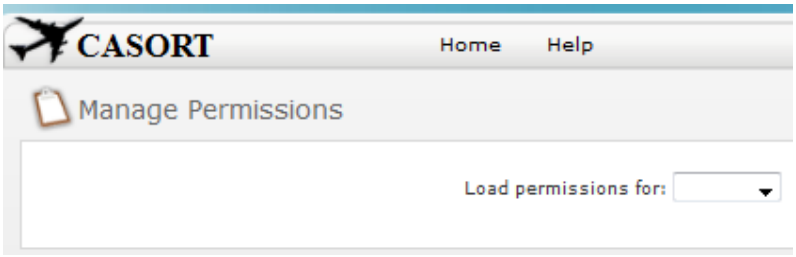
17.5 MANAGE PERMISSIONS

17.5.1 SELECTING A USER

A. The other choice on the new Admin Home Page is **Manage**. button on the Permissions bar.

B. Selecting that link will provide bring up the screen with a drop-down menu.

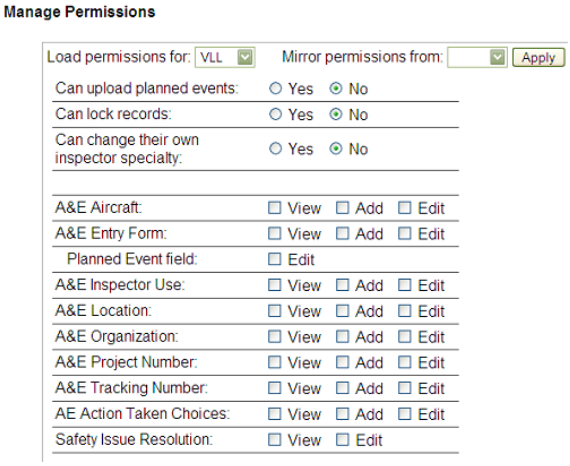
C. Selecting that drop-down menu provides a list of "active" user initials.



D. Selecting a specific user's initials will bring up the PERMISSIONS currently assigned to that user.

17.5.2 DECIDING WHICH PERMISSIONS TO ASSIGN

A. Selecting a user will bring up the current PERMISSIONS screen for that user.l


Manage Permissions
Load permissions for: VLL
Mirror permissions from:
Apply
Can upload planned events: Yes No
Can lock records: Yes No
Can change their own inspector specialty: Yes No
A&E Aircraft: View Add Edit
A&E Entry Form: View Add Edit
Planned Event field: Edit
A&E Inspector Use: View Add Edit
A&E Location: View Add Edit
A&E Organization: View Add Edit
A&E Project Number: View Add Edit
A&E Tracking Number: View Add Edit
AE Action Taken Choices: View Add Edit
Safety Issue Resolution: View Edit

- In this example, the user has no assigned permissions.
- Because this individual is listed on the Manage Users screen, he is an "active" user.
- An "active" user with no assigned permissions does already have the capability to log-in to the Home Page where he has some limited ability to view the primary records.
- But this ability is so limited that he will not be able to VIEW some records at a workable level.

B. The first three permissions shown fall under the heading of "specialized" permissions; those that give special capability.

- **Upload planned events**: this permission is given to users that need to use Excel upload feature to gang-load a group of records associated with a planned certification or inspection program.
- **Lock records**: This permission is not yet active, but it will give management the capability to "lock" a record from any future editing. As records are finalized, some persons get the temptation to make changes. This feature acts to preserve records that are critical to future proof of actions taken.
- **Change inspector specialty:** This permission is not yet active, but it will give management the capability to "toggle" from one CAA Action technical specialty to another to develop planned records.

C. The remainder of the permissions list every editable primary table and sub-table in the database. The SysAdmin must check each box as necessary to allows the user accomplish their assigned functions. There are three essential capabilities which must be considered—

1) **View:** This permission allows the user to easily move within the database and VIEW the specific tables and sub-tables that are checked.

   - Generally all users will have this capability.
   - As a rule, upper-level, non-technical management are only given this capability, because they do not add or edit technical entries.

2) **Add:** This permission allows the technical user to ADD new records to the database and EDIT those records which the database recognizes are "owned" by the user.

   - In other words, a user who has the ability to enter a record also has the ability to edit that record.
   - Technical personnel are given this capability in the tables and sub-tables of the database where they are expected to enter data.

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3) **Edit:** This permission allows the user to EDIT any record within that table or sub-table, including those that are "owned" by other users.

- For the CAA Action database, this capability is normally limited to management and SysAdmin
- Persons engaged in specialized functions, such as personnel licensing, may be given this authority limited to their specific functions.

D. The CAA Action **Planned Event** field – **EDIT** – is a specialized permission intended only for supervisors to designate that a record is planned for future completion.

- The designation of a record as a planned event will insert that record in the CAA Action Notifications process.

Refer to Chapters 4 and 5 concerning the Action notification features.

17.5.3 VIEWING PERMISSIONS

A. The permissions for a specific user may be viewed from the Admin Home Page by—

1) Selecting the link **Manage Permissions**

2) Selecting the specific user's initials from the drop-down menu labeled '**load permissions for**."

3) The displayed permissions are those currently assigned to the selected user.

B. It will be necessary to scroll through the list to see all permissions that have been assigned to this user.

C. Entering new permissions or deleting previous permissions may be accomplished by simply checking or unchecking the boxes. This action automatically saves the selected or unselected permission.

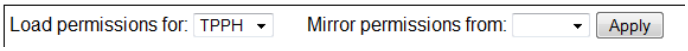
17.5.4 MIRRORING PERMISSIONS

A. A key feature of the Permissions assignments is the ability to make these assignments by mirroring the assignments aleady made to another user.

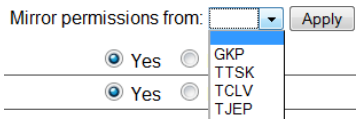
B. The general procedure for using the mirroring feature is to—

1) Select Manage Permission;

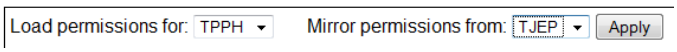
2) Using the drop-down menu (load permissions for), select the initials of the user to load the permissions;



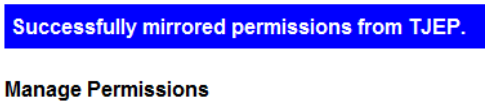
3) Using the drop-down menu (mirror permissions from), select another employee (that already has permission) from this list;



4) Now select ***Apply***;



5) A blue "successfully mirrored" banner will be displayed



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6) At this point, the System Admin may individually edit any non-applicable permissions for this user.

7) Or just Logout.

17.5.5 ENTERING PERMISSIONS

17.5.5.1 Entering Permissions for the First Time

A. The good news is that, after the permissions have been entered for one user, it is possible to "mirror" those permissions for other users.

B. The bad news is that the SysAdmin will have to proceed through the setup of the first user's permissions by checking one permission at a time.

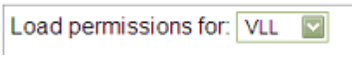
- Initially, the drop-down menu for mirroring will have no possible choices.
- As each user's permissions are finalized, their initials will appear in drop-down menu as a choice for mirroring.

17.5.5.2 Permissions Assignment Process

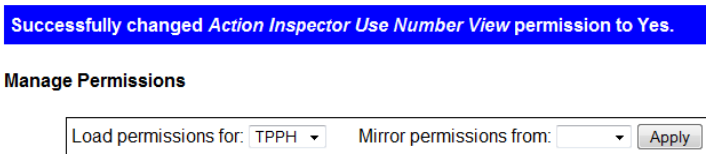
A. The process for assigning permissions is simple.

Completely review of this section before beginning the actual entries.

- Select the drop-down menu arrow labeled **load permissions for**:



- Select the user's initials from the drop-down list that is provided. That selection will cause the database to display the user's current permissions.
- Place the cursor in a permission box (or radial button) that should be checked – and click.
- Pause – and wait for the database to save that permission before moving to the next box. Otherwise, the database will not be saving as rapidly the boxes can being checked.
- A blue saved banner will appear at the top of the page when the permission has been saved.
- The database will move the current permission line up as the saving process occurs. (This will not be true at the bottom of the list because there will be no further items to move up.)


Successfully changed *Action Inspector Use Number View* permission to Yes.
Manage Permissions
Load permissions for: TPPH
Mirror permissions from:
Apply

B. Continue the process, checking only those permissions that the specific user should have.

For guidance see the suggested list of permission assignments in Appendices 14-A through 14-F.

- If a permissions box is checked erroneously, that action will save the permission.
- Unchecking a box with a saved permission will reset the box to "no permission."

17.5.5.3 Assign Permissions in Groups

A. Initially the permissions should be entered for distinct groups.

1) The first permissions should be for upper-level, ***non-technical*** managers – if they desire to be able to view and print-out records, or use the database reporting features.

It is not necessary to enter non-technical users who will rely on their subordinates to provide reports or copies of records from the database,

♦ Enter one non-technical manager permissions.

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- His initials will now appear in the drop-down menu of the mirroring feature, This user's permissions will be the template for other non-technical managers.

- Use the drop-down menu to load the permissions for the next user.
- If there are other non-technical managers, use the mirroring feature to enter those users before proceeding to the next grouping.

2) Now use the non-technical manager user's initials (your template) to mirror their VIEW permissions as a starting point for entering technical inspector permissions.

> The moment the mirroring "Apply" button is selected, the technical inspector has permissions that mirror the non-technical managers.

3) The first ***Technical Inspector*** user will be given additional capability to add new records to the CAA Action database. (This permission also allows them to edit their "own" records.)

- One at a time, enter the additional permissions that should be assigned to a technical inspector, thereby completing a "template."

> Refer to Appendices 14-A through 14-F for more instructions.

- Now select another technical inspector from the drop-down menu to load permissions.
- Then use the mirror feature to apply the first technical inspector permissions to this user.
- Repeat the process for all technical inspectors, other than technical supervisors.

4) Now use the technical inspector user's initials (your template) as a mirror to give the first ***Technical Supervisor*** the additional capability to EDIT the records of others.

> - The CAA Action Edit capability should be assigned only to technical supervisors that are responsible for editing the quality of entries made by their personnel.
> - The CAA Action sub-tables EDIT capability should only be assigned to the SysAdmin for data consistency.

- One at a time, enter the additional permissions that should be assigned to a technical supervisor thereby completing a "template."
- Now load another technical supervisor.
- Then use the mirror feature to apply the first technical supervisor's permissions to this user.
- Repeat the process for other technical supervisor and the SysAdmin.

5) Now – go back and use the first non-technical manager's permissions as the basic for providing a starting point for para-technical personnel, such as the Personnel Licensing employees.

- These employees must make their CAA Action records as related to their specialized support functions.

17.6 MANAGE IMAGES

A. The ***Manage*** button on the Images bar provides a secure point on the Admin Panel to insert signatures, seals and other images for insertion into official documents, such as a PEL License or Airworthiness Certificate.

B. The actual insertion point in the official documents is still dependent on set up of the documents by the CASORT development team.

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C. The team sets up the programming code that takes the information from specific fields in the database for insertion into an official document.

- That includes the code that takes the secure images and inserts those onto the document.

D. When an insertion point has been specified for a specific type of secure image, the SysAdmin may insert a new or revised image in the database by—

1) From the Admin Panel Home Page, select the ***Manage*** button on the Images bar.

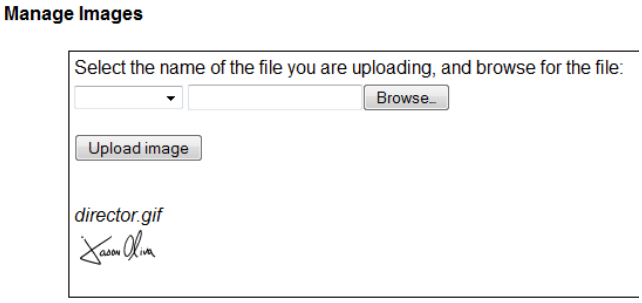
   ♦ That will display the Image Upload feature;

2) Click on the drop-down arrow and select the image to be uploaded;

   ♦ At this time there is only one possible image = director.gif.

3) Now ***Browse*** for the specific file to insert;

4) When that file is selected, the database will show a thumbnail of the image in the area as shown;



   ♦ If there is already a image in the database, that image will be discarded when the new image is inserted.

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APPENDIX 17-A
Specialized Permissions

This table provides the recommendations of the CASORT development team for the various users when selecting the permissions located in the "specialized permissions" portion of the "Manage Permissions."

Permissions	Technical Inspectors	Principal Inspector	Technical Supervisor	TA-Personnel Licensing	TA-Aircraft Airworthiness	TA-Orgy Admin	TA-Training Admin	SysAdmin	Non-Technical Management
Can upload planned events	NO	NO	YES	NO	NO	NO	NO	YES	NO
Can lock records	NO	NO	YES	NO	NO	NO	NO	YES	NO
Can change their own inspector specialty	NO	NO	YES	NO	NO	NO	NO	YES	NO
Can access Designee Display Form	NO	NO	YES	NO	NO	NO	NO	YES	NO
Can access Designed Authority Form	NO	NO	YES	NO	NO	NO	NO	YES	NO
Can access medical certificate form	NO	NO	YES	NO	NO	NO	NO	YES	NO
Can access PEL license form	NO	NO	YES	NO	NO	NO	NO	YES	NO

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APPENDIX 17-B
CAA Action & Safety Issue Permissions

This table provides the recommendations of the CASORT development team for the various users when selecting the permissions located in the "CAA Actions" portion of the "Manage Permissions."

Permissions	Technical Inspectors	Principal Inspector	Technical Supervisor	TA-Personnel Licensing	TA-Aircraft Airworthiness	TA-Orgy Admin	TA-Training Admin	SysAdmin	Non-Technical Management
Action Aircraft MMS	VIEW	VIEW	VIEW ADD EDIT	VIEW	VIEW	VIEW	VIEW	VIEW ADD EDIT	VIEW
Action Inspector Use Number	VIEW ADD	VIEW ADD	VIEW ADD EDIT	VIEW ADD	VIEW ADD	VIEW ADD	VIEW ADD	VIEW ADD EDIT	VIEW
Action Location	VIEW	VIEW	VIEW ADD EDIT	VIEW	VIEW	VIEW	VIEW	VIEW ADD EDIT	VIEW
Action Organization	VIEW ADD	VIEW ADD	VIEW ADD EDIT	VIEW ADD	VIEW ADD	VIEW ADD	VIEW ADD	VIEW ADD EDIT	VIEW
CAA Action Project Number	VIEW	VIEW	VIEW ADD EDIT	VIEW	VIEW	VIEW	VIEW	VIEW ADD EDIT	VIEW
CAA Action Tracking Number	VIEW	VIEW	VIEW ADD EDIT	VIEW	VIEW	VIEW	VIEW	VIEW ADD EDIT	VIEW
Action Entry Form	VIEW ADD	VIEW ADD	VIEW ADD EDIT	VIEW ADD	VIEW ADD	VIEW ADD	VIEW ADD	VIEW ADD EDIT	VIEW
Action Planned Event Field			EDIT					EDIT	
Safety Issue Resolution	VIEW EDIT	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW	VIEW	VIEW EDIT	VIEW

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APPENDIX 17-C
Aircraft Airworthiness Permissions

This table provides the recommendations of the CASORT development team for the various users when selecting the permissions located in the "Aircraft Airworthiness" portion of the "Manage Permissions."

Permissions	Technical Inspectors	Principal Inspector	Technical Supervisor	TA-Personnel Licensing	TA-Aircraft Airworthiness	TA-Orgy Admin	TA-Training Admin	SysAdmin	Non-Technical Management
Aircraft Airworthiness Certificate	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW
Aircraft CAA Approvals	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW
Aircraft Equipment Review	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW
Aircraft Exemptions	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW
Aircraft Insurer	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW
Aircraft Lessee	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW
Aircraft Owner	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW
Aircraft Primary Record	VIEW	VIEW	VIEW ADD EDIT	VIEW	VIEW ADD EDIT	VIEW	VIEW	VIEW ADD EDIT	VIEW
Aircraft Registration	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW
Aircraft STC	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW
Aircraft Type Certificate	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW

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APPENDIX 17-D
Personnel Licensing Permissions

This table provides the recommendations of the CASORT development team for the various users when selecting the permissions located in the "Personnel Licensing" portion of the "Manage Permissions."

Permissions	Technical Inspectors	Principal Inspector	Technical Supervisor	TA-Personnel Licensing	TA-Aircraft Airworthiness	TA-Orgy Admin	TA-Training Admin	SysAdmin	Non-Technical Management
PEL Designee	VIEW	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW	VIEW EDIT	VIEW
PEL Language	VIEW	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW	VIEW EDIT	VIEW
PEL Licensee Contact Info	VIEW	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW	VIEW EDIT	VIEW
PEL Licensee History	VIEW	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW	VIEW EDIT	VIEW
PEL Licenses	VIEW	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW	VIEW EDIT	VIEW
PEL Logbook Review	VIEW	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW	VIEW EDIT	VIEW
PEL Medical Certificate	VIEW	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW	VIEW EDIT	VIEW
PEL Primary Record	VIEW	VIEW	VIEW ADD EDIT	VIEW ADD EDIT	VIEW	VIEW	VIEW	VIEW ADD EDIT	VIEW

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APPENDIX 17-E
Organization Permissions

This table provides the recommendations of the CASORT development team for the various users when selecting the permissions located in the "Organization" portion of the "Manage Permissions."

Permissions	Technical Inspectors	Principal Inspector	Technical Supervisor	TA-Personnel Licensing	TA-Aircraft Airworthiness	TA-Orgy Admin	TA-Training Admin	SysAdmin	Non-Technical Management
ORG Aerial Work Approvals	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG Aircraft Listing	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AMO Approvals	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approvals (Airports)	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approvals (Flight Operations)	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approvals (General)	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approvals (Maintenance Fleet)	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approvals (Operations Fleet)	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approvals: Areas	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approvals: Routes	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approved: Simulators	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approved Contracted Services	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approved Leasing Arrange-ments	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approved Maintenance Arrangements	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG AOC Approved Training Arrange-ments	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW

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ORG ATO Approvals	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG Base Locations	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG Business Name	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG CAA Contacts	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG Certificates	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG Complexity Review	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG Exemptions	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG Management Contacts	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG Non-Certificated Operations	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG Policy Manual Approvals	VIEW	VIEW EDIT	VIEW EDIT	VIEW	VIEW	VIEW EDIT	VIEW	VIEW EDIT	VIEW
ORG Primary Record	VIEW	VIEW ADD EDIT	VIEW ADD EDIT	VIEW	VIEW	VIEW ADD EDIT	VIEW	VIEW ADD EDIT	VIEW

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APPENDIX 17-F
CAA Employee Qualification Permissions

This table provides the recommendations of the CASORT development team for the various users when selecting the permissions located in the "CAA Employee Qualification" portion of the "Manage Permissions."

Permissions	Technical Inspectors	Principal Inspector	Technical Supervisor	TA-Personnel Licensing	TA-Aircraft Airworthiness	TA-Orgy Admin	TA-Training Admin	SysAdmin	Non-Technical Management
CAA Employee Aircraft Qualification	VIEW	VIEW	VIEW ADD	VIEW	VIEW	VIEW	VIEW ADD	VIEW ADD	VIEW
CAA Employee Contact Information	VIEW	VIEW	VIEW ADD	VIEW	VIEW	VIEW	VIEW ADD	VIEW ADD	VIEW
CAA Employee Formal Training	VIEW	VIEW	VIEW ADD	VIEW	VIEW	VIEW	VIEW ADD	VIEW ADD	VIEW
CAA Employee OJT Qualification	VIEW	VIEW	VIEW ADD	VIEW	VIEW	VIEW	VIEW ADD	VIEW ADD	VIEW
CAA Employee Qualification Record	VIEW	VIEW	VIEW ADD EDIT	VIEW	VIEW	VIEW	VIEW ADD	VIEW ADD EDIT	VIEW
CAA Employee Resume	VIEW	VIEW	VIEW ADD	VIEW	VIEW	VIEW	VIEW ADD	VIEW ADD	VIEW
CAA Employee Technical License	VIEW	VIEW	VIEW ADD	VIEW	VIEW	VIEW	VIEW ADD	VIEW ADD	VIEW
Training Course	VIEW	VIEW	VIEW ADD EDIT	VIEW	VIEW	VIEW	VIEW ADD	VIEW ADD EDIT	VIEW
Training Institution	VIEW	VIEW	VIEW ADD EDIT	VIEW	VIEW	VIEW	VIEW ADD	VIEW ADD EDIT	VIEW

End of Chapter

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